



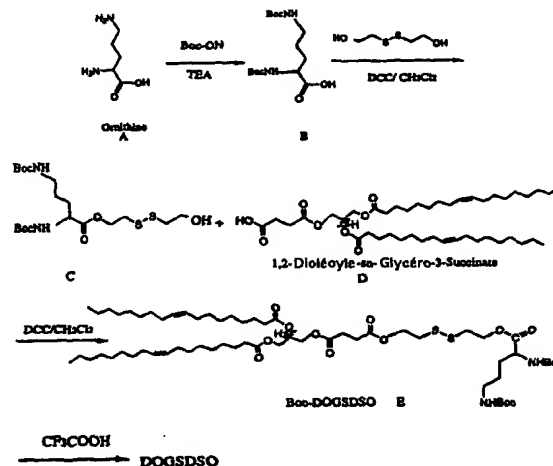
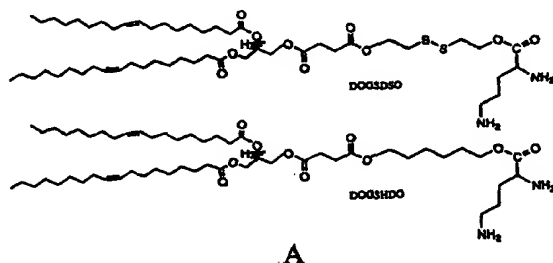
INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

| | | |
|---|-----------|--|
| (51) International Patent Classification ⁶ : A61K 47/48, C07J 41/00, C07C 69/58, A61K 48/00 | A1 | (11) International Publication Number: WO 99/58152 (43) International Publication Date: 18 November 1999 (18.11.99) |
| (21) International Application Number: PCT/US99/10423 (22) International Filing Date: 12 May 1999 (12.05.99) (30) Priority Data: 09/076,468 12 May 1998 (12.05.98) US (71) Applicant: UNIVERSITY OF FLORIDA [US/US]; 223 Grinter Hall, Gainesville, FL 32611 (US). (72) Inventors: HUGHES, Jeffrey, A.; 4521 N.W. 21st Drive, Gainesville, FL 32605 (US). TANG, Fuxng; Apartment #16, 302 Diamond Village, Gainesville, FL 32603 (US). (74) Agents: SALIWANCHIK, David, R. et al.; Saliwanchik, Lloyd & Saliwanchik, Suite A-1, 2421 N.W. 41st Street, Gainesville, FL 32606-6669 (US). | | (81) Designated States: AE, AL, AU, BA, BB, BG, BR, CA, CN, CU, CZ, EE, GD, GE, HR, HU, ID, IL, IN, IS, JP, KP, KR, LC, LK, LR, LT, LV, MG, MK, MN, MX, NO, NZ, PL, RO, SG, SI, SK, SL, TR, TT, UA, UZ, VN, YU, ZA, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG). Published <i>With international search report.</i> <i>Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i> |

(54) Title: CATIONIC LIPIDS WITH DISULPHIDE BONDS FOR THE INTRACELLULAR DELIVERY OF THERAPEUTIC SUBSTANCES

(57) Abstract

The subject invention concerns novel materials and methods for the delivery of substances, such as DNA or polypeptides, into cells. In a specific embodiment, substances are delivered into cells using a novel class of lipid compounds. These compounds, cationic lipid compounds having a disulfide bond, can be complexed with DNA to be inserted into a cell in gene therapy. Once inside the cell, enzymes present within the cell cleave the disulfide bond and the DNA is released.



FOR THE PURPOSES OF INFORMATION ONLY

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

| | | | | | | | |
|----|--------------------------|----|--|----|--|----|--------------------------|
| AL | Albania | ES | Spain | LS | Lesotho | SI | Slovenia |
| AM | Armenia | FI | Finland | LT | Lithuania | SK | Slovakia |
| AT | Austria | FR | France | LU | Luxembourg | SN | Senegal |
| AU | Australia | GA | Gabon | LV | Latvia | SZ | Swaziland |
| AZ | Azerbaijan | GB | United Kingdom | MC | Monaco | TD | Chad |
| BA | Bosnia and Herzegovina | GE | Georgia | MD | Republic of Moldova | TG | Togo |
| BB | Barbados | GH | Ghana | MG | Madagascar | TJ | Tajikistan |
| BE | Belgium | GN | Guinea | MK | The former Yugoslav Republic of Macedonia | TM | Turkmenistan |
| BF | Burkina Faso | GR | Greece | | | TR | Turkey |
| BG | Bulgaria | HU | Hungary | ML | Mali | TT | Trinidad and Tobago |
| BJ | Benin | IE | Ireland | MN | Mongolia | UA | Ukraine |
| BR | Brazil | IL | Israel | MR | Mauritania | UG | Uganda |
| BY | Belarus | IS | Iceland | MW | Malawi | US | United States of America |
| CA | Canada | IT | Italy | MX | Mexico | UZ | Uzbekistan |
| CF | Central African Republic | JP | Japan | NE | Niger | VN | Viet Nam |
| CG | Congo | KE | Kenya | NL | Netherlands | YU | Yugoslavia |
| CH | Switzerland | KG | Kyrgyzstan | NO | Norway | ZW | Zimbabwe |
| CI | Côte d'Ivoire | KP | Democratic People's Republic of Korea | NZ | New Zealand | | |
| CM | Cameroon | | | PL | Poland | | |
| CN | China | KR | Republic of Korea | PT | Portugal | | |
| CU | Cuba | KZ | Kazakhstan | RO | Romania | | |
| CZ | Czech Republic | LC | Saint Lucia | RU | Russian Federation | | |
| DE | Germany | LI | Liechtenstein | SD | Sudan | | |
| DK | Denmark | LK | Sri Lanka | SE | Sweden | | |
| EE | Estonia | LR | Liberia | SG | Singapore | | |

DESCRIPTION

CATIONIC LIPIDS WITH DISULPHIDE BONDS FOR THE INTRACELLULAR DELIVERY OF THERAPEUTIC SUBSTANCES

5

The subject invention was made with government support under a research project supported by the National Institutes of Health Grant Nos. NIH R29 HL55770-02 and NIH PO1 AG10485-06. The government has certain rights in this invention.

10

Background of the Invention

15

Although gene therapy technology is becoming more advanced and sophisticated there are still a number of technical hurdles which limit the usefulness of this technology. One of the important technical hurdles pertains to the difficulty of delivering DNA into a cell and having that DNA reach its intended target so that genetic transformation can occur. There are several steps in this process including finding an appropriate vehicle for delivering the DNA, increasing the efficiency by which DNA enters the cell, and increasing the likelihood that the DNA will be released by the delivery vehicle so that it reaches its intended location within the cell.

20

25

30

The use of cationic organic molecules to deliver heterologous genes in gene therapy procedures has been reported in the literature. Not all cationic compounds will complex with DNA and facilitate gene transfer. Currently, a primary strategy is routine screening of cationic molecules looking for good candidates. The types of compounds which have been used in the past include cationic polymers such as polyethyleneamine, ethylene diamine cascade polymers, and polybrene. Proteins, such as polylysine with a net positive charge have also been used. The largest group of compounds, cationic lipids, includes DOTMA, DOTAP, DMRIE, DC-chol, and DOSPA. All of these agents have proven effective but suffer from potential problems such as toxicity and expense in the production of the agents. Cationic liposomes are currently the most popular system for gene transfection studies. Cationic liposomes serve two functions: protect DNA from degradation and increase the amount of DNA entering the cell. While the mechanisms describing how cationic liposomes function have not been fully delineated, such liposomes have proven useful in both *in vitro* and *in vivo* studies. However, cationic liposomes suffer from several important limitations. Such limitations include low transfection efficiencies, expense in production of the lipids, low suspenibility when complexed to DNA, and toxicity. Dissociation of DNA from DNA/liposomes complexes is also one of the major barriers for cationic liposome-mediated gene transfection (Rolland, A.P. (1998) *Crit Rev Ther Drug Carrier*

Syst 15:143-198; Escriou, V., C. Ciolina, A. Helbling-Leclerc, P. Wils, D. Scherman (1998) *Cell Biol Toxicol* 14:95-104; J. Zabner, A.J. Fasbender, T. Moninger, K.A. Poellinger, M.J. Welsh (1995) *J Biol Chem* 270:18997-19907).

Since Felgner *et al.* ((1987) *Proc Natl Acad Sci USA* 84:7413-7417) reported application
5 of N-[1-(2,3-dioleoyloxy)propyl]-N, N, N-trimethylammonium chloride (DOTMA) in
transfection of plasmid DNA in 1987 (Felgner P.L. *et al.* (1987) *Proc Natl Acad Sci USA*
84:7413-7417), many cationic lipids have been synthesized and used in plasmid DNA delivery
(Gao, X, L. Huang (1995) *Gene Ther* 2:710-722; Rolland, A.P. (1998) *Crit Rev Ther Drug*
Carrier Syst 15:143-198; Lee, R.J., L. Huang (1997) *Crit Rev Ther Drug Carrier Syst* 14:173-
10 206). Most of these efforts have been focusing on improving the transfection activity and
decreasing the cytotoxicity. The uses of ester, amide, and carbamate linkages to tether polar and
hydrophobic domains are common strategies to lower the toxicity. However, no intracellular
degradation studies have been conducted for any cationic transfection lipid (Aberle, A.M., F.
Tablin, J. Zhu, N.J. Walker, D.C. Gruenert, M.H. Nantz (1998) *Biochemistry* 37:6533-6540).
15 3-([N-(N', N'-dimethyl amino ethane) carbomayl] cholesterol (DC-Chol) was the first lipid
used in clinical trials because of its combined properties of transfection efficiency, stability and
low toxicity (Gao, X., L. Huang (1995) *Gene Ther* 2:710-722). Recently, Aberle *et al.* ((1998)
Biochemistry 37:6533-6540) reported a novel tetraester construct that reduced the cationic
lipid-associated cytotoxicity compared to DC-Chol (Aberle, A.M., F. Tablin, J. Zhu, N.J.
Walker, D.C. Gruenert, M.H. Nantz (1998) *Biochemistry* 37:6533-6540). However, the
20 introduction of the ester bond may also decreases the stability of liposome in systemic
circulation when the liposomes are used in clinical trials.

Compounds containing disulfide bonds are able to participate in disulfide exchange
reactions over a broad range of conditions from acid to basic pH and in a wide variety of buffer
25 constitutes and physiological conditions (Hermanson, G.T. (1996) *Bioconjugate Techniques*, pp.
150-152, Academic Press, San Diego). Because of their special chemical properties, disulfide
conjugate techniques have been widely used in drug delivery to achieve high delivery
efficiencies (Trail, P.A., D. Willner, S.J. Lasch, A.J. Henderson, S.J. Hofstead, A.M. Casazza,
R.A. Firestone, I. Hellstrom, K.E. Hellstrom (1993) *Science* 261:212-215; Legendre, J.Y., A.
30 Trzeciak, B. Bohrmann, U. Deushle, E. Kitas, A. Supersaxo (1997) *Bioconjugate Chem.* 8:57-63;
Kostina, E.V., A.S. Bourtine (1993) *Biochimie* 75:35-41; Trail, P.A., D. Willner, J. Knipe, A.J.
Henderson, S.J. Lasch, M.E. Zoeckler, G.R. Braslawsky, J. Brown, S.J. Hofstead, R.S.
Greenfield, R.A. Firestone, K. Mosure, K.F. Kadow, M.B. Yang, K.E. Hellstrom, I. Hellstrom
(1997) *Cancer Research* 57:100-105). The most common method used in bioconjugates

involves cross-linking or modification reactions using disulfide exchange processes to form disulfide linkage with sulfhydryl-containing molecules. However, this method is not suitable for the syntheses of most cationic lipids due to their specific chemical structures.

Thus, as can be understood from the above, there remains a need in the art for materials and methods which can be used for the efficient delivery of molecules, such as DNA, into cells. The use of cationic compounds containing disulfide bonds to deliver DNA in gene therapy procedures has not previously been described.

Brief Summary of the Invention

The subject invention provides novel materials and methods for efficiently delivering polynucleotides or other molecules across cell membranes into intracellular regions. Advantageously, this transport of molecules from extracellular to intracellular locations is accomplished in a manner whereby the transported molecule is released in the intracellular regions and does not remain complexed or otherwise associated with a carrier molecule upon exposure to the intracellular environment. The introduction into a cell of molecules which are not associated with carrier molecules is highly advantageous because the transported molecule, free from association with a carrier molecule, is able to provide a desired biological activity without any inhibition which could be caused by a carrier molecule.

To accomplish efficient molecular transport followed by intracellular release, the materials and methods of the subject invention exploit differences which exist between intracellular and extracellular environments. A specific embodiment of the subject invention involves attaching or complexing a desired molecule with a second molecule (or other moiety) wherein said second molecule facilitates the efficient transfer of the desired molecule across a cell membrane. The association between the desired molecule and the second molecule remains intact in the extracellular environment and as the desired molecule crosses the cell membrane. However, upon exposure to the intracellular environment, the association between the desired molecule and the second molecule is broken thereby freeing the desired molecule in the intracellular space.

The desired molecules which can be transported into cells according to the subject invention include, for example, polynucleotides such as DNA or RNA. The transport of polynucleotides into target cells is necessary in a variety of procedures where it is desired, for example, to transform a target cell with heterologous polynucleotides. The efficiency of such transformation procedures can be improved by the materials and methods of the subject invention which make it possible to delivery uncomplexed polynucleotides to the intracellular

environment. Such uncomplexed polynucleotides (or other desired molecules) are not hindered from performing an intended function within the cell by the presence of a carrier molecule.

In a specific embodiment, the subject invention provides a new class of lipid molecules for use in non-viral gene therapy. Advantageously, these novel compounds effectively complex with DNA and facilitate the transfer of DNA through a cell membrane into the intracellular space of a cell to be transformed with heterologous DNA. Furthermore, these lipid molecules facilitate the release of heterologous DNA in the cell cytoplasm thereby increasing gene transfection during gene therapy in a human or animal.

The novel compounds of the subject invention provide a disulfide linker between a polar head group and a lipophilic tail group of the lipid. Upon entering a cell, these lipids are exposed to high intracellular concentrations of glutathione or other reducing substances which reduce the disulfide bond thereby releasing the heterologous DNA in the cytoplasm. This process increases the efficiency of gene transfection. The lipid molecules of the subject invention are particularly advantageous because they can be selectively destabilized within the cytosol of the cell.

A further aspect of the subject invention pertains to convenient methods of synthesis for disulfide-containing cationic lipids. In a specific embodiment, the lipid, 1,2-dioleoyl-sn-glycero-3-succinyl-2-hydroxyethyl disulfide ornithine conjugate (DOGSOSO), can be synthesized and used to prepare liposomes in combination with L-dioleoyl phosphatidylethanolamine (DOPE). The disulfide bond of DOGSOSO is cleaved by reductive media leading to destabilization of the liposome/DNA complex, thus increasing the release of DNA compared to a non-disulfide-containing analog. In another embodiment, the lipid Cholesteryl hemidithiodiglycolyl tris(aminoethyl)amine (CHDTAEA) can be synthesized and used to prepare liposomes according to the present invention.

To demonstrate the importance of the disulfide bond a comparison was made of the gene transfection activities and the transfection efficiency of the disulfide bond containing-cationic lipid DOGSOSO, its analog 1',2'-dioleoyl-sn-glycero-3'-succinyl-1,6-hexanediol ornithine conjugate (DOGSHDO) which has a similar structure to DOGSOSO but does not contain a disulfide bond, and commercially available 1, 2-dioleoyl-3-trimethylammonium-propane (DOTAP). In all liposome preparations the cationic lipid was mixed with an equal molar ration of DOPE. Lipid/DNA complexes were treated either with media containing 10 mM DTT or DTT free-media for 12 hours at 37°C to evaluate the dissociation of DNA from complexes in reductive media. Only DNA complexed by DOGSOSO/DOPE liposomes and treated with DTT was released. DNA complexed by DOGSHDO/DOPE liposome was not released in either environment. Without treatment of DTT, no DNA was released from the

DOGSDSO/DOPE/DNA complex after incubation for 12 hours at 37°C. This indicates that the dissociation of DNA from lipid complexes is difficult and may act as a barrier for gene transfection. When exposed to high concentrations of intracellular reductive substances, the disulfide bond of DOGSDSO is reduced and DNA released resulting in higher plasmid DNA concentrations within the cytoplasm and greater production of the transgene.

Thus, in one embodiment, the materials and methods of the subject invention exploit differences between intracellular and extracellular environments with regard to the presence of glutathione. High levels of glutathione in intracellular spaces results in the reduction in disulfide bonds which have been introduced between the desired molecule and the second molecule or moiety. The reduction of the disulfide bond inside a target cell frees the desired molecule from the carrier molecule or moiety.

Similar transport and release of desired molecules can be achieved according to the subject invention using systems which exploit other differences between intracellular and extracellular environments. Thus, in another embodiment of the subject invention, the desired molecule is attached to a second molecule such that the attachment is stable in the extracellular high sodium environment but the attachment is broken and the desired molecule is released in the low sodium and/or high potassium intracellular environment.

In a further embodiment of the subject invention the association between the desired molecule and the second molecule is stable in the low viscosity extracellular spaces but, upon exposure to the higher viscosity intracellular environment, the desired molecule is released from the second molecule.

One skilled in the art, having the benefit of the teachings provided herein could readily prepare and utilize molecules and complexes having the differential stability as described herein.

Brief Description of the Drawings

Figure 1A shows the structures of DOGSDSO and DOGSHDO. **Figure 1B** shows the synthesis of DOGSDSO.

Figure 2 shows the structures of Cholesteryl N-(dimethylaminoethyl)carbamate (DC-Chol), Cholesteryl hemidithiodiglycolyl tris(aminoethyl)amine (CHDTAEA), and Cholesteryl hemisuccinyl tris(aminoethyl)amine (CHSTAEA).

Figure 3 shows the synthesis of Cholesteryl hemidithiodiglycolyl tris(aminoethyl)amine (CHDTAEA).

Figure 4 shows the gel electrophoretic analysis of the release of pDNA from cationic liposomes/DNA complexes in 10 mM glutathione in phosphate buffered saline. Lane A: DNA, Lane B: CHDTAEA/DOPE+DNA(2/1,w/w), Lane C:CHSTAEA/DOPE+DNA(2/1,w/w).

Figures 5A and 5B show a comparison of the transfection of pGL3-luciferase plasmid by CHDTAEA/DOPE, CHSTAEA/DOPE, and DC-Chol in CHO and SKnSH cells. A fixed dose 2 μ g/well of pGL3 DNA was mixed with increasing weight ratios of cationic liposomes (calculation based on cationic lipid) and used for transfection. Figure 5A: Transfection in CHO cells, Figure 5B: Transfection in SKnSH cells. ◆CHDTAEA/DOPE, ■CHSTAEA/DOPE; ▲DC-Chol/DOPE. Data is shown as mean (S. D. (n=3).

Figures 6A and 6B show the toxicity assays of cytotoxicity of the liposome/DNA complexes was studied in CHO and SKnSH cells. A fixed dose of 1 μ g/well of pDNA was mixed with increasing amount of cationic liposomes and used in the toxicity assay. Cell viability was calculated as percentage of survival cells as stated in the Methods section. Figure 6A: Toxicity in CHO cells. Figure 6B: Toxicity in SKnSH cells. ◆CHDTAEA/DOPE, ■CHSTAEA/DOPE; ▲DC-Chol/DOPE. Data is shown as mean (S. D. (n=3).

Figure 7 shows a comparison of the delivery of pDNA by CHDTAEA/DOPE, CHSTAEA/DOPE, and DC-Chol/DOPE in CHO cells. One μ g/well of fluorescein labeled pDNA was complexed with CHDTAEA/DOPE, CHSTAEA/DOPE, or DC-Chol/DOPE with the weight ratio of cationic lipid to DNA of 2/1, respectively. The relative amount of pDNA, which was delivered into cells by different cationic liposomes, was measured as relative mean fluorescence intensity of cells as indicated in the Methods section. Data is shown as mean (S. D. (n=3).

Abbreviations

DOTAP: 1, 2-dioleoyl-3-trimethylammonium-propane

DOPE: L-dioleoyl phosphatidylethanolamine

DOGSDSO: 1',2'-dioleoyl-sn-glycero-3'-succinyl-2-hydroxyethyl disulfide ornithine conjugate

DOGSHDO: 1',2'-dioleoyl-sn-glycero-3'-succinyl-1,6-hexanediol ornithine conjugate

CHDTAEA: Cholesteryl hemidithiodiglycolyl tris(aminoethyl)amine

CHSTAEA: Cholesteryl hemisuccinyl tris(aminoethyl)amine

DC-Chol: Cholesteryl N-(dimethylaminoethyl)carbamate

DTT: Dithiothreitol

Calcein-AM: Acetoxymethyl ester of calcein

RLU: Relative light unit

Detailed Disclosure of the Invention

The subject invention provides materials and methods useful for transporting substances into the cytosol of target cells. Advantageously, the subject invention makes it possible to efficiently deliver desired molecules across the cell membrane of a target cell and then release the desired molecule within the cell. The materials and methods of the subject invention take advantage of differences in the intracellular and extracellular environments. More specifically, the molecule which is to be delivered to the target cell (the desired molecule) is attached to a second molecule (or moiety) in a manner which achieves a stable association in the extracellular environment. Upon entering the cytosol of the cell, however, the association is disrupted thereby releasing the desired molecule within the cytosol of the target cell.

The second molecule (or other moiety), to which the desired molecule is attached (or otherwise associated) advantageously facilitates the transfer of the desired molecule across the cell membrane. The second molecule (or other moiety) is also referred to herein as the transport molecule. Together, the transport molecule and the desired molecule form a transport complex. In a specific embodiment, the transport molecule can be, for example, a cationic lipid. Specifically exemplified herein are systems whereby cationic lipids are associated with DNA molecules to facilitate the transport of the DNA into intracellular regions. This embodiment of the subject invention is highly advantageous in procedures in which transformation of a target cell with heterologous DNA is desired.

The subject disclosure provides specific examples of means for associating the desired molecule to the second molecule, for example, the use of disulfide bonds which are reduced in the intracellular environment is specifically exemplified. Those skilled in the art having the benefit of the instant disclosure will appreciate that other means for attaching the desired molecule to the second molecule or moiety can be utilized.

As used herein, reference to the "attachment" of the desired molecule to the second molecule or moiety refers to any means for associating these two chemical species such that the combination of the two species facilitates transfer of the desired molecule (and, typically, the transport molecule) across the cell membrane. This association between the two chemical species may be in the form of an ionic or covalent bond or as a complex or liposome. One specific form of attachment as contemplated by the subject invention involves the use of a cationic liposome as the transport molecule to transport DNA into a cell. In this embodiment the DNA is carried in the endosome of the liposome. Regardless of the exact nature of the attachment of the desired molecule to the second molecule or moiety, it is necessary for the

attachment to be effectively broken upon entering the cell so as to release the desired molecule within the cell. Specifically exemplified herein is the use of a disulfide bond within a cationic lipid molecule in order to deliver DNA to a target cell. Upon crossing the cell membrane and entering the cytosol the disulfide bond is exposed to intracellular species which reduce the disulfide bond thus releasing the DNA into the cytosol.

Utilizing the teachings provided herein, the skilled artisan could use alternative forms of association which are stable outside the cell but are broken inside the cell. For example, the attachment may be stable in high sodium conditions (which are typical outside the cell) but are broken in low sodium/high potassium environments found inside cells. Alternatively, the attachment may be stable in low viscosity environments (typical outside the cell) and broken upon exposure to high viscosity conditions inside a cell.

As used herein, reference to the "desired molecule" means any molecule for which transport into a cell is desired. This can be, for example, polynucleotides (such as DNA) or proteins.

The compounds and methods of the subject invention can be used to intracellularly deliver a desired molecule, such as, for example, a polynucleotide, to a target cell. The desired polynucleotide can be composed of DNA or RNA or analogs thereof. The desired polynucleotides delivered using the present invention can be composed of nucleotide sequences that provide different functions or activities, such as nucleotides that have a regulatory function, *e.g.*, promoter sequences, or that encode a polypeptide. The desired polynucleotide can also provide nucleotide sequences that are antisense to other nucleotide sequences in the cell. For example, the desired polynucleotide when transcribed in the cell can provide a polynucleotide that has a sequence that is antisense to other nucleotide sequences in the cell. The antisense sequences can hybridize to the sense strand sequences in the cell. Polynucleotides that provide antisense sequences can be readily prepared by the ordinarily skilled artisan. Antisense therapies have been described, for example, in U.S. Patent No. 5,681,747. The desired polynucleotide delivered into the cell can also comprise a nucleotide sequence that is capable of forming a triplex complex with double-stranded DNA in the cell.

Cells to which a desired molecule can be intracellularly delivered using the compounds and methods of the present invention include any cell of an animal where intracellular delivery is desired. Target cells can include, for example, blood cells, such as lymphocytes, brain cells, muscle cells, liver cells and others.

In a specific embodiment, the subject invention concerns novel lipid molecules for use in non-viral gene therapy. In this embodiment, the subject invention further concerns methods of preparing novel compounds and the use of these compounds in non-viral gene therapy.

5 The materials and methods of the subject invention can be used to improve the efficiency of DNA delivery when cationic compounds are used to transport DNA into cells. The subject invention provides a unique and advantageous delivery system which carries the DNA into the cell and then releases the DNA once inside the cell. Specifically, the DNA is complexed with a cationic lipid compound having a disulfide bond. Once inside the cell, enzymes, such as glutathione, present within the cell cleave the disulfide bond and the DNA is released.

10 Cationic liposomes are promising non-viral systems for use in gene delivery. Although the biochemical and biophysical mechanisms of cationic liposome assisted gene transfection and expression are not thoroughly understood, the barriers involved in the transfection process *in vitro* generally include the following events (1) formation of the liposome/DNA complex; (2) entry of the complex into a cell; (3) escape of DNA from the endosome; (4) dissociation of DNA from the liposome; (5) entry of DNA into the nucleus; and (6) DNA transcription. Some of the barriers can be addressed by rationale design of the delivery systems (1-5) while others (6) relate to the innate properties of the plasmid itself (e.g., promoters, enhancers etc.).

20 A conflict is encountered overcoming the first and fourth barriers. Cationic liposomes are required not only to complex DNA in the extracellular environment so that the DNA is protected from nucleases and enabling them to enter the cell, but also to easily release the DNA for integration and expression. To address this problem, the subject invention provides new lipids including, for example, 1',2'-dioleoyl-sn-glycero-3'-succinyl-2-hydroxyethyl disulfide ornithine conjugate (DOGSDSO) and cholesteryl hemidithiodiglycolyl tris(aminoethyl)amine (CHDTAEA). These lipids contain a reversible disulfide bond between the polar head group of the lipid and its lipophilic tail. After forming the lipid/DNA complex and transporting DNA into cells, DOGSDSO is acted upon by a relatively high intracellular concentration of reductive substances which cleave the disulfide bond, thus releasing the DNA. This causes a higher cytoplasm concentration of DNA and an increase in transgene expression.

25 The subject invention also provides new methods for the synthesis of cationic lipids containing a disulfide bond. In a specific embodiment the cationic lipid is DOGSDSO. In another embodiment, the cationic lipid is CHDTAEA.

30 In one series of experiments the transfection activity of DOTAP/DOPE, DOGSDSO/DOPE, and DOGSHDO/DOPE liposomes was tested in three cell lines. In initial experiments, the optimum concentration of DOGSDSO/DOPE was determined and used for

these studies. When other concentrations of the lipid were used in transfection, a similar trend was always seen but with different magnitudes of transgene expression. The importance of the disulfide bond in the lipid structure was evaluated by comparing the transfection efficiency of DOGSDSO to the structural analog, DOGSHDO. DOTAP/DOPE was evaluated as a second control liposome composed of a commonly used cationic lipid. DOGSDSO/DOPE demonstrated greater transgene expression than DOTAP/DOPE in all cell lines tested. In the cell lines tested there was a significant difference between treatment with DOGSDSO/DOPE and the other two formulations while there was no significant difference between DOTAP/DOPE and DOGSHDO/DOPE treatments. Compared to its analog, DOGSHDO, which has very similar structure except for the lack of a disulfide bond, DOGSDSO has a greater than 50-fold effect on transfection activity in 293 cells and COS-1 cells and a 4 fold increase in SKnSH cells.

In addition to its high transfection activity in the absence of serum, DOGSDSO was found equally active in the presence of 10% FBS in COS-1 cells.

The correlation of dose of DNA/liposome complexes with transgene expression is also an important aspect to reflect transfection efficiency of cationic liposomes. The optimal ratio of DNA/liposome, 2 μ g of DNA transferred by DOGSDSO reached the saturation of system in COS-1 cells. With further increases of dose, there was no significant increase of luciferase activity. However, 7 μ g of DNA transferred by DOGSHDO did not reach the saturation and the transgene expression was only one third of that of 2 μ g of DNA transferred by DOGSDSO liposome. This characteristic of DOGSDSO makes it very advantageous for gene therapy because the toxicity of cationic liposomes is one of the drawbacks of cationic liposome-mediated gene transfer and highly efficient vectors with relatively small doses are needed for clinical applications.

Using a calcein release assay cell viability of the three cell lines was tested. In two of the cell lines (293 cells and SKnSH cells) there was a significant difference between all three treatments while in the COS cells treatment with DOGSDSO/DOPE was only significantly different from treatment with DOTAP/DOPE liposomes. The toxicity results suggest DOGSDSO/DOPE liposomes did not improve transfection activity solely through its difference in toxic effects thus suggesting that DOGSDSO/DOPE liposomes improve transfection activity by the specific mechanism of releasing the DNA in the reductive environment of the cytoplasm, although other mechanisms such as increased cellular uptake or endosomal escape may be involved.

DOGSDSO and DOGSHDO were found to have very similar three dimensional structures. The steric energy for the frame of DOGSDSO and DOGSHDO is also similar

(1:61.054 kcal/mole and 1:64.971kcal/mole, respectively). Thus, the introduction of the disulfide bond does not make a substantial difference in these physical characteristics between DOGSDSO and its analog DOGSHDO.

The optimal ratio of DOTAP to DNA in transfection was 1:1 or 2:1 (w/w).
5 Theoretically, at the weight ratios of 1:1 and 2:1, the charge ratio of the complexes are about 1:2, 1:1(+/-), respectively, which means complexes at these weight ratios are negatively or neutrally charged. These results seem to conflict with previous studies, which suggest that cationic lipid-mediated gene transfection is efficient when the lipid/DNA complexes have a net positive charge that can associate with anionic residues on the cell membrane (Felgner, J.H., R. Kumar, C.N. Sridhar, C.J. Wheeler, Y.J. Tsai, R. Border, P. Ramsey, M. Martin, P.L. Fengler (1994) *J. Biol. Chem.* 269:2550-2561; Gao, X. and L. Huang (1991) *Biochem. Biophys. Res. Commun.* 179:280-285; Zabner, J., A.J. Fasbender, T. Moninger, K.A. Poellinger, M.J. Welsh (1995) *J. Biol. Chem.* 270:18997-19007; Vigneron, J.P., N. Oudrhiri, M. Fauquet, L. Vergely, J.C. Bradley, M. Bassevill, P. Lehn, J.M. Lehn (1996) *Proc. Natl. Acad. Sci. USA* 93:9682-9686).
10 However, in an agarose gel retardation study of complexes of DOTAP/DNA at weight ratios of 1:1 and 2:1, a relatively large amount of free pDNA was found. The zeta potential of complexes at these two ratios were +0.07mV and +0.78mV respectively. The result suggested the charge of the complexes was different from that of theoretical calculations and that the net charge of the complexes was still slightly positive. It was also observed that, at weight ratios of DOTAP to DNA bigger than 2:1, transfection complexes form large aggregates. Although fresh complexes were used for transfection, in 5-10 minutes after DOTAP was mixed with DNA, complexes were still found to form large aggregates in half an hour during transfection. The lack of physical stability of liposome/DNA complexes affects the gene transfection activity (Caplen, N.J., E. Kinrade, F. Sorgi, X Gao, D. Gruenert, C. Couttelle, L. Huang, E.W.F.W. Alton, R. Williamson (1995) *Gene Ther.* 2:603).
20 However, according to the subject invention, at the high weight ratio of 10/1 (charge ratio 6/1(+/-)), DOGSDSO and DOGSHDO did not aggregate during transfection. As compared to DOTAP, which has a quaternary amino head group, DOGSDSO and DOGSHDO have an ornithine head group which bears two primary amino groups. The interaction force between primary amino groups and DNA is not as strong
25 as the interaction force of a quaternary amino group with DNA and is dependent on the local environment.

In CHDTAEA lipid, the disulfide bond is weakened by the strong electric withdrawing effects of two carboxyl groups which are symmetrically connected to the two α -carbons of the disulfide bond (Figure 2). CHDTAEA liposomes released more than half of complexed DNA

in the presence of glutathione (Figure 4). As shown in Figure 4, CHDTAEA was as stable as its non-disulfide analog CHSTAEA in a non-reductive environment since DNA/CHDTAEA/DOPE liposomes did not release any pDNA after incubation. Therefore, the introduction of this weak disulfide bond did not sacrifice the stability of DNA /liposome complexes outside cells. Without a disulfide bond, its analog CHSTAEA did not release DNA at any conditions after incubation for 20 hours. The release of DNA from DNA/liposome complexes is a major barrier for cationic lipid-mediated gene transfection (Rolland, A.P. (1998) *Crit Rev Ther Drug Carrier Syst* 15:143-198; Escriou, V., C. Ciolina, A. Helbling-Leclerc, P.Wils, D. Scherman (1998) *Cell Biol Toxicol* 14:95-104; Zabner, J. A.J. Fasbender, T. Moninger, K.A. Poellinger, M.J. Welsh (1995) *J Biol Chem* 270:18997-19007).

The results of transgene expression demonstrated that CHDTAEA liposomes had greater transfection activity than its non-disulfide analog CHSTAEA in both CHO and SKnSH cells.

As shown in Figure 6, in CHO cells, complexes of DNA/CHDTAEA/DOPE did not show cytotoxicity at any of the tested concentrations ($p > 0.05$). In SKnSH cells, the DNA/CHDTAEA/DOPE complex did not exhibit cytotoxicity except at the highest tested concentration ($5 \mu\text{g}/\text{well}$). CHSTAEA and DC-Chol exhibited much greater cytotoxicity (Figure 6).

Materials and Methods

Chemicals: DOTAP, DOPE, and 1,2-dioleoyl-sn-glycero-3-succinate were purchased from Avanti Polar Lipids (Alabaster, AL). Calcein-AM was purchased from Molecular Probes, Inc. (Eugene, OR). Other organic reagents were bought from Aldrich Chemicals (Milwaukee, WI).

Plasmid DNA: All supplies were purchased from Promega (Madison, WI). Plasmid DNA was obtained from *E. coli* (strain JM-109) which had been transfected with a pGL3 luciferase producing plasmid. Plasmid DNA was isolated using a Megawizard DNA purification kit. The concentration and purity of pDNA were determined spectrophotometrically.

Synthesis of DOGSDSO: Amino groups of L-ornithine were protected with Boc-ON in wet 1,4-dioxane to produce B (Itoh, M., D. Hagiwara, T. Kamiya (1977) *Bulletin of the Chemical Soc. of Japan* 50(3):718-721). B was esterified with 5 equivalents of 2-hydroxyl disulfide to form C (DCC, 1.1 equiv., RT, in CH_2Cl_2) (Hassner, A. and V. Alexanian (1978) *Tetrahedron Letters* 46:4475-4478). C and D (1:1) were condensed to generate Boc-DOGSDSO (DCC, 1.1 equiv., RT, in CH_2Cl_2). Thin layer chromatography (TLC) was used to follow all the

reactions. A normal separation method of silica gel chromatography was used to purify B, C, D and E. The molecular weight of E was determined by ionization spray positive mode mass spectrometry, MW=1171(calculated 1171.7 for $C_{62}H_{110}N_2O_{14}S_2$). 1H NMR ($CDCl_3$, 300 HZ): 0.90 [t, 2'(CH₃)], 1.20-1.69[m, 26'(CH₂)], 1.44[s, 2'(CH₃)₃], 2.01 [q, 4'(C=C-CH₂)], 2.31 [m, 2'(CH₂C=O)], 2.71 [s, O=CCH₂CH₂C=O], 2.91 [t, CH₂SSCH₂], 3.12 [q, CH₂N], 4.18 [m, a-H], 4.36 [2'(CH=CH)], 4.62 [broad s, NH], 5.05-5.12[broad s, NH], 5.22-5.40 [m, OCH₂CHOCH₂O]. Before using the lipid to prepare liposomes, E was deprotected (CF₃COOH, 0°C, 15min) (Behr, J.P. (1989) *J. Chem. Soc., Chem. Commun.* 101-103), and excessive trifluoroacetic acid was dried under high vacuum to yield DOGSDSO. The overall yield was 45%-50% based on the amount of starting amino acid. Because DOGSDSO was unstable on silica during chromatography, its purity was checked by TLC, and it was used directly to prepare liposomes. A similar synthetic method and conditions were used to synthesize the non-sulfide analog DOGSHDO with similar chemical yields.

Syntheses of CHDTAEA and CHSTAEA: CHDTAEA was synthesized as outlined in Figure 3. 2.0 gram (6 mmol) of cholesterol and 1.9 gram of dithiodiglycolic acid (12 mmol) were dissolved in 30 mL of ethyl acetate under nitrogen. 12 mmol of 1,3-Dicyclohexylcarbodiimide (DCC), 0.19 gram of 4-pyrrolidinopridine (1.2 mmol), and 1.43 mL of triethylamine (12 mmol) were added at 0 °C. The mixture was warmed to room temperature naturally and stirred under nitrogen at room temperature overnight. The reaction mixture was filtered and washed by 5% citric acid followed by brine three times. The organic layer was separated and dried over anhydrous sodium sulfate. The organic solvent was evaporated. The product cholesteryl hemidithiodiglycolate was purified on silica gel with a developer of hexane:ethyl acetate:acetic acid (30:10:1) (Rf=0.3, 2.4 gram, yield=80%). N, N-BOC₂-tris (2-aminoethyl) amine was prepared by treating tris(2-aminoethyl)amine with two equivalent of 2-(*tert*-butoxycarbonyloxyimino)-2-phenylacetonitrile (BOC-ON) in wet THF. 0.30 gram (0.5 mmol) of cholesteryl hemidithiodiglycolate, 0.24 gram of N, N-BOC₂-tris(2-aminoethyl)amine (0.65 mmol), and 0.007 gram of 4-pyrrolidinopridine (0.005 mmol) were dissolved in 20 mL of dichloromethane. 0.6 mmol of DCC in dichloromethane and 0.06 mL of triethylamine were added dropwise at 0 °C. The mixture was stirred under nitrogen at room temperature overnight. The product N, N-BOC₂-(cholesteryl hemidithiodiglycolyl tris(aminoethyl)amine) was separated and purified on silica with a developer of dichloromethane:methanol (10:1) (Rf=0.35, 0.37 gram, yield =85%). The molecular weight was determined by a Micromass Quattro-LC-Z triple quadrupole mass spectrometer equipped with an atmospheric pressure chemical ionization (APCI) ion source (Beverly, MA). $M+H^+=$

881.5 (calculated 881.3 for $C_{47}H_{82}N_4O_7S_2 + H^+$). 1H NMR ($CDCl_3$, 300 MHz): 0.69 [s, CH_3], 0.830-2.04 [m, 3($(CH_3)_2$), 10($(CH_2)_2$), and 6((CH))], 1.02 [s, CH_3], 1.42 [s, 2($(CH_3)_3CO$)], 2.38 [m, $CH_2C=C$], 2.52-2.68 [m, $(CH_2)_3N$], 3.28 [m, 2((CH_2NCO))], 3.35 [m, CH_2NCO], 3.50 [s, CH_2SS], 3.60 [s, CH_2SS], 4.68 [m, CHO], 4.99-5.32 [m, 3($NHCO$)], 5.38 [m, $C=CH$]. BOC groups were detached (CF_3COOH , 0 °C, 15 min), and excessive trifluoroacetic acid was dried under high vacuum to produce CHDTAEA. This step is quantitative as reported by Behr. After the reaction, the purity was checked by TLC, CHATAEA were used to prepare liposomes without further purification. Similar synthesis strategy was used to synthesize the non-disulfide analog CHSTAEA (Figure 3) with slight modifications. Commercial available cholesteryl hemisuccinate was directly used to conjugate with N, N-BOC₃-tris (2-aminoethyl)amine to obtain the BOC protected CHSTAEA. $M+H^+ = 817.5$ (calculated 817.2 for $C_{47}H_{82}N_4O_7 + H^+$). 1H NMR ($CDCl_3$, 300 MHz): 0.69 [s, CH_3], 0.830-2.04 [m, 3($(CH_3)_2$), 10($(CH_2)_2$), and 6((CH))], 1.02 [s, CH_3], 1.44 [s, 2($(CH_3)_3CO$)], 2.30 [m, $CH_2C=C$], 2.48-2.70 [m, $(CH_2)_3N$], 3.15 [m, 2((CH_2NCO))], 3.29 [m, CH_2NCO], 4.61 [m, CHO], 4.99-5.32 [m, 3($NHCO$)], 5.35 [m, $C=CH$].

The same method was applied to detach the BOC group as mentioned above.

Liposome preparation with DOTAP, DOGSDSO and DOGSHDO: DOTAP, DOGSDSO, and DOGSHDO were dissolved and mixed with a neutral lipid DOPE (1:1 molar ratio) (Felgner, J.H., R. Kumar, C.N. Sridhar, C.J. Wheeler, Y.J. Tsai, R. Border, P. Ramsey, M. Martin, P.L. Fengler (1994) *J Biol Chem* 269:2550-2561) in chloroform. The solution was evaporated in a round-bottom flask using a rotary evaporator at room temperature. The lipid film was dried by nitrogen for an additional ten minutes to insure all solvent was evaporated. The lipid film was then suspended in sterile water to make a concentration of 1 mg/ml based on the amount of DOTAP, DOGSDSO or DOGSHDO. The resultant mixtures were shaken for 30 minutes, followed by sonication by using Sonic Dismembrator (Fisher Scientific) for 5 minutes at 5 watts to form homogenized liposomes. The particle size distribution of the liposomes was measured using a NICOMP 380 ZLS instrument (Santa Barbara, CA) with the volume-weight distribution parameter. The average diameter of all liposomes was between 220-350 nm regardless of the cationic lipid used. The liposomes were stored at 4 °C until use. The liposomes demonstrated similar transfection activity when used for gene transfection for up to two months when stored under these conditions.

Liposome preparation with CHDTAEA and CHSTAEA: CHDTAEA or CHSTAEA was dissolved in chloroform and mixed with a neutral helper lipid DOPE (1:1 molar ratio, which was optimized (data not shown)) (Felgner, J.H., R. Kumar, C.N. Sridhar, C.J. Wheeler, Y.J. Tsai, R. Border, P. Ramsey, M. Martin, P.L. Fengler (1994) *J Biol Chem* 269:2550-2561). DC-Chol was

dissolved in chloroform and mixed with DOPE at the optimal molar ratio of 6:4 according to Gao and Huang (Gao, X., L. Huang (1991) *Biochem Biophys Res Commun* 179:280-285). The mixtures were evaporated to dryness in a round-bottomed flask using a rotary evaporator at room temperature. The lipid film was dried by nitrogen for a further ten minutes to evaporate residual chloroform and the lipid film was resuspended in sterile water to a concentration of 1 mg/ml based on the weight of cationic lipids. The resultant mixtures were shaken in a water bath at 30 °C for 30 minutes. The liposomes were hydrated at 4 °C overnight. The suspensions were sonicated using a Sonic Dismembrator (Fisher Scientific) for 2 minutes at 4 °C to form homogenized liposomes. The particle size distribution and zeta potential of liposomes were measured using a NICOMP 380 ZLS instrument (Santa Babara, CA). The diameters were expressed by the volume-weight distribution parameter. The average diameters of CHDTAEA/DOPE, CHSTAEA/DOPE and DC-Chol/DOPE were 121.7 (14.2 nm, 154.7(19.8 nm, and 165.8(19.9 nm, respectively. The zeta potentials were (8.04 mV, +7.68 mV, and +6.98 mV, respectively. Liposomes were stored at 4 °C and used in 3 months.

Dissociation of DNA from the lipid/DNA complex in reductive media: One microgram of DNA was complexed with 16 mg DOGSDSO/DOPE or DOGSHDO/DOPE in PBS (1 mL) (pH=7.4). After the initial mixing, the complexes were incubated for 30 minutes at room temperature. DL-Dithiothreitol (DTT) in PBS (pH=7.4) was then added to complexes to form a final concentration of 10 mM. The mixtures were incubated for 12 hours at 37 °C. Released plasmid DNA from the complex was visualized by SYBR staining of a 0.7% TBE agarose gel.

Dissociation of DNA from DNA/liposome complexes by glutathione: One µg of plasmid DNA was dissolved in 10 (L of phosphate-buffer saline (PBS). Cationic liposomes CHATAEA/DOPE or CHSTAEA/DOPE were added to pDNA solution at the increasing weight ratios of 2/1, respectively. All calculations of the weight of liposomes in this paper were based on the weight of cationic lipids only. After the complexes were incubated for 30 minutes at room temperature, 10 (L of 20 mM of glutathione in PBS (pH=7.3) was added to the mixture to reach a final concentration of glutathione of 10 mM. The mixtures were incubated at 37 °C for 20 hours. Released DNA was visualized by 1 % agarose gel electrophoresis.

Cell culture and gene transfection using DOGSDO and DOGSHDO: SKnSH cells. HEK 293 cells, and COS-1 cells (obtained through ATCC) were maintained in RPMI 1640, DMEM, and DMEM (high glucose) respectively, and supplemented with 10 % fetal bovine serum and antibiotics (penicillin 100 mg/ml and streptomycin 100 mg/ml). All cells were maintained in 5% CO₂ and at 37 °C in humidified air. Cell lines were cultured and seeded in 24 well plates (2 x10⁵ cells/ well) and grown to 60-80 % confluence in 1 ml of media with serum. pDNA/lipid

complexes were made and incubated at room temperature in serum free media for 30 minutes and used for transfection. Before transfection, serum containing media was changed to serum free media and the transfection mixtures were added to the cells. After 4.5 hours, the media was changed to growth media containing serum, and the cells were grown for another 48 hours.

5 Firefly luciferase activity was measured using a luciferase assay. Following transfection and incubation, cells were rinsed twice with phosphate buffer saline. 100 ml of luciferase lysis buffer (0.1 M potassium phosphate buffer pH 7.8, 2 mM EDTA, 1% Triton X-100, 1 mM DTT) was added to the cells. The cells were lysed by shaking at room temperature for 15 minutes. Luciferase activity was quantified by using a Monolight 2010 Luminometer. 100 ml of

10 luciferase assay buffer (30 mM Tricine, 3mM ATP, 15 mM MgSO₄, 10mM DDT, pH=7.8) and 20 ml of cell lysate were added to a 100 ml injection of 1mM D-luciferin. pH=6.3 (Molecular Probes, Eugene, OR). The light emission over a 10 second reaction period was integrated. The total protein concentration in the cell lysate was measured by the BCA protein assay reagent (Pierce, Rockford, IL). Luciferase activity in cultured cells was expressed as relative light units

15 (RLU) per mg of protein. Experiments were done in quadruplicate with each experiment repeated at least twice.

In another set of experiments COS 1 and Chinese hamster ovary (CHO) cells were maintained in DMEM (high glucose) and (-MEM) respectively, and supplemented with 10% fetal bovine serum (FBS) and antibiotics (penicillin 100 g/ml and streptomycin 100 µg/ml). All

20 cells were kept in 5% CO₂ and at 37°C in humidified air. Cell lines were cultured and seeded in 24 well plates (2x10⁵), and grown to 60-80 % confluence in 1 ml of media with serum. DNA/lipid complexes were made and incubated at room temperature in serum free media for 5-10 minutes and used for transfection. Before transfection, growth media containing serum was changed to serum free media and for the experiment to test serum sensitivity, growth media were

25 changed to fresh growth media and the transfection mixtures were added to the cells. After a certain period of time for the specific experiments, the media was changed to growth media containing serum, and the cells were grown for another 48 hours. Following transfection and incubation, cells were rinsed twice with phosphate buffer saline. 100 µL of luciferase lysis buffer (0.1 M potassium phosphate buffer pH 7.8, 2 mM EDTA, 1% Triton X-100, 1 mM DTT)

30 was added to the cells. The cells were lysed with shaking at room temperature for 15 minutes. Luciferase activity was quantified by using a Monolight 2010 Luminometer. 100 l of luciferase assay buffer (30 mM tricine, 3mM ATP, 15 mM MgSO₄, 10mM DDT, pH=7.8) and 2 µL of cell lysate were added to a 100 l injection of 1mM D-luciferin, pH=6.3 (Molecular Probes). The light emission over a 10 second reaction period was integrated. A standard curve of relative

light units (RLU) versus luciferase was made by using a dilution series of purified firefly luciferase and showed that the linear range of light detection extends from 1×10^3 to 1×10^7 . 2 l of cells lysate was used for luciferase assay. The total protein concentration in the supernatant was measured by the BCA protein assay reagent (Pierce, Rockford, IL). Luciferase activity in
5 cultured cells was expressed as RLU per mg of protein. Each experiment was repeated at least twice, and within in a series, experiments were done in triplicate.

Transfection efficiency assay: The optimal weight ratio for transfection of each liposome was used. $3 \mu\text{g}$ per well of pUF2 DNA was complexed with $30 \mu\text{g}$ of DGSOSO/DOPE, $30 \mu\text{g}$ of DOGSHDO/DOPE, and $6 \mu\text{g}$ of DOTAP/DOPE, respectively. Complexes were incubated with
10 CHO cells in serum free media for 4.5 hour then the media was changed to growth media and further incubated for 20 hours. Transfection efficiency was determined by counting the number of green fluorescence cells compared with all cells in the field of vision under (20 magnification using a Nikon Diaphot inverted microscope). Each transfection was done in triplicate and three separate counts were made for each well.

15 Cell culture and gene transfection using CHDTAEA and CHSTAEA: Chinese hamster ovary (CHO) and SKnSH cells were obtained from American Tissue Type Collection (Rockville, MD). The cells were maintained in RPMI 1640 or (-MEM media respectively. All cells were kept in 5 % CO_2 and at 37°C in humidified air. Cells of same passage from same flask were cultured and seeded in three 24 well plates (2×10^5 cells/well) and grown to 60-80 % confluence
20 in 1 mL of serum-containing media. pGL3 luciferase DNA/liposome complexes were made and incubated at room temperature in serum free media for 30 minutes and used for transfection. The plasmid was isolated as previously described (Tang, F., J.A. Hughes (1998) *Biochem Biophys Res Commun* 242:141-145). Before transfection, growth media containing serum was changed to 400 (L serum free media. DNA/liposome complexes in 100 (L of serum free media
25 were added to each well and incubated for 4.5 hours. After the 4.5-hour transfection time, the transfection media were changed to growth media and cells were incubated for another 24 hours. Luciferase activity was measured using a standard luciferase assay (Thierry, A.R., P. Rabinovich, B. Peng, L.C. Mahan, J.L. Bryant, R.C. Gallo (1997) *Gene Ther* 4:226-237). Luciferase activity in transfected cells was expressed as RLU per well. All conditions for
30 transfection were strictly kept the same for each different kind of liposomes. Experiments were repeated at least twice, and experiments were done in triplicate within a given series.

Toxicity assay of DOGSDSO, DOGSHDO and DOTAP: The cellular toxicity of DOGSDSO/DOPE, DOGSHDO/DOPE and DOTAP/DOPE in the three cell lines was determined by using a calcein release assay (Lichtenfels, R., W.E. Biddison, H. Schulz, A.B.

Vogt, R. Martin (1994) *J Immunological Methods* 172:227-239). Before the assay, cells were plated in a 96 well plate (1×10^5 /well) and grown to 60-80% confluence. Cells were treated with media containing increasing amounts of liposome and incubated for an additional 48 hours. After specific treatments, cells were washed three times with PBS and incubated with 100 ml of calcein-AM (1mg/ml in PBS) for 30 minutes at room temperature. Calcein fluorescence intensity was measured at the excitation and emission wavelengths of 485 nm and 538 nm respectively, on a Perkin Elmer LS 50B Spectrophotometer. Cell survival was calculated as a percentage using the following equation:

$$\text{Percentage of Cell Survival} = \frac{\text{Measured Signal} - \text{Minimum Signal}}{\text{Maximum Signal} - \text{Minimum Signal}} \times 100$$

The maximum signal was the fluorescence signal obtained from cells not treated by liposomes.

The minimum signal was the background signal.

Toxicity Assay of CHDTAEA, CHSTAEA and DC-Chol: The toxicity of CHDTAEA/DOPE, CHSTAEA/DOPE and DC-Chol/DOPE in the CHO and SKnSH cell line was determined using a CARE-LASS (a calcein release assay). Before the assay, cells were plated in a 96 well plate (1×10^5 cells/well) and grown to 60-80 % confluence overnight. To test the toxicity of the DNA/liposome complexes, a fixed amount of DNA ($1 \mu\text{g}$ /well) was used to complex with increasing amount of liposomes. The ratios of DNA to liposome of different treatments were the same as the ratios used in transfection studies. The cytotoxicity of three liposomes were measured and expressed according to our previous procedure (Tang, F., J.A. Hughes (1998) *Biochem Biophys Res Commun* 242:141-145). Each experiment was performed in triplicate and repeated at least twice.

Flow cytometry analysis of the delivery of fluorescein (FITC) labeled pDNA into CHO cells: The nucleic acid fluorescein labeling kit was purchased from PanVera Corporation (Madison, WI), and pDNA was labeled according to the product directions. One μg /well of fluorescein labeled pDNA was complexed with CHDTAEA/DOPE, CHSTAEA/DOPE, or DC-Chol/DOPE with the weight ratio of cationic lipid to DNA of 2/1, respectively. The complexes were used for transfection as stated in preceding methods in CHO cells. After 4.5-hour transfection period, the cells were quickly washed with PBS three times. One hundred (L of trypsin-EDTA was added to each well. The cells were trypsinized for 2-3 minutes and the reaction was stopped by 200 (L of 1% of bovine serum albumin (BSA) in PBS. The cells were collected and centrifuged at 250 g for 10 minutes. The supernatant was decanted and the cell pellet was resuspended in 500(L of 1% BSA and centrifuged for another 10 minutes to further

wash phenol red and possible residue FITC-DNA. After the BSA solution was discharged, the cell pellet was resuspended in 500 (L of PBS followed by 500 (L of 2% of paraformaldehyde PBS solution. The cells were fixed at 0 °C for 15 minutes then stored at 4 °C overnight. Cell fluorescence was measured using a Becton Dickinson FACSort flow cytometer (San Jose, CA). 10,000 cells were counted for each treatment. Cells were gated with their morphological properties. The mean fluorescence intensity of the cells was measured in terms of arbitrary units using a LYSYS II software program (Becton Dickinson, San Jose, CA). Each experiment was performed in triplicate and repeated twice.

Statistical analysis: Statistical analyses were performed using either a one way or two way ANOVA (Stat View 4.53, Abacus Concepts, Inc., Berkeley, CA). A probability of less than 0.05 was considered to be statistically significant.

Following are examples which illustrate procedures for practicing the invention. These examples should not be construed as limiting. All percentages are by weight and all solvent mixture proportions are by volume unless otherwise noted.

Example 1—Synthesis of disulfide bond-containing lipids

The subject invention provides new methods to synthesize disulfide bond-containing cationic lipids without using general bioconjugation techniques in which disulfide bonds are introduced by a disulfide-containing agent. In a specific example, 2-hydroxyethyl disulfide, cystamine, and dithiodiglycolic acid are used to directly conjugate a hydrophobic lipid portion and a hydrophilic cationic portion to produce a disulfide bond-containing cationic lipid which can be used as described herein to transport desired molecules across a cell membrane. Three examples of synthesis procedures are as follows:

- (I) lipid-COOH + HOCH₂CH₂-S-S-CH₂CH₂OH + HOOC-cationic portion -
2-hydroxyethyl disulfide
lipid-COO-CH₂CH₂-S-S-CH₂CH₂-OOC-cationic portion;
- (II) lipid-COOH + H₂NCH₂CH₂-S-S-CH₂CH₂NH₂ + HOOC-cationic portion -
cystamine
lipid-CONH-CH₂CH₂-S-S-CH₂CH₂-NHOC-cationic portion;
- (III) lipid-OH + HOOC(CH₂)_n-S-S-(CH₂)_nCOOH + H₂N-amine -
dithiodiglycolic acid;

lipid-OOCCH₂-S-S-CH₂CONH-amine.
wherein n = 1-4

Example 2—Preparation of Compounds of Figure 1

5 The compounds of Figure 1 can be prepared as follows. Amino groups of L-ornithine can be protected with Boc-ON in wet 1,6-dioxane to produce B. B was esterified with 5 equivalent of 2-hydroxyl disulfide to form C (DCC, 1.1 equiv., RT, in CH₂Cl₂). C and D can be condensed to generate Boc-DOGSDSO (DCC, 1.1 equiv., RT, in CH₂Cl₂). A normal separation method of silica gel chromatography can be used to purify B, C, D, E. Finally, E can be deprotected (CF₃COOH, 0° C, 15 min), and excessive TFA dried under high vacuum to prepare DOGSDSO. Since DOGSDSO is not stable on silica during chromatography, its purity can be checked and it can be by TLC used directly to form liposomes. The same conditions can be used to synthesize the analog DOGSHDO.

15 Example 3—Preparation of Liposomes

DOGSDSO/DOPE: 0.1 mmol is dissolved in 20 ml of chloroform in a 100 ml round bottom flask. The chloroform is removed by the use of a rotary evaporator at elevated temperatures (40° C) resulting in a thin, well dispersed film in the bottom of the flask. Sterile water (10 ml) is then added to the flask and sonicated with a probe sonicator (power) until the mixture is clear.

20 When the liposomes are sized using a dynamic light scattering system a 200 nm particle distribution is observed.

25 Example 4—Comparison of gene transfection activity of DOGSDSO/DOPE with DOGSHDO/DOPE and DOTAP/DOPE

30 The ratio of cationic lipid to DNA is an important factor for gene transfer. Comparison experiments were done by using a fixed amount of DNA (3g/well). Transfection activity of six ratios of cationic lipid to DNA: 1/1, 2/1, 3/1, 4/1, 8/1, and 10/1 (w/w) were tested in COS 1 cells and CHO cells. The molecular weight of DOGSDSO and DOGSHDO is 971.64 Dalton and 935.57 Dalton respectively. The molar ratio or charge ratio of cationic lipid to DNA of DOGSDSO and DOGSHDO is very similar if they have same weight ratio to DNA. Since serum was reported to decrease the transfection activity of some cationic liposomes, transfection was studied both in serum free media and growth media containing 10% of FBS.

35 With the transfection in serum free media, both DOGSDSO and DOGSHDO reached the highest transfection activity at the weight ratio of cationic lipid to DNA of 10/1 (charge ratio.

6/1(+/-)). Further increases in the amount of liposome caused cytotoxicity and decreased the transfection activity. DOTAP reached optimal transfection activity at the weight ratio of 1:1 or 2:1(charge ratio, 1/2, 1/1(+/-)). At the optimal ratio of each liposome, the transfection activity of DOGSDSO was 11 times higher than its analog DOGSHDO and 6 times higher than the highest transfection activity of DOTAP (at the weight ratio 1:1) in COS 1 cells. In CHO cells, at the optimal ratio of each liposome, DOGSDSO showed 3 times higher transfection activity than DOGSHDO and 2 times higher than DOTAP.

When pDNA was transferred in the growth media, the time used for incubation of cells with transfection complexes was 12 hours. DOGSDSO demonstrated high transfection activity in COS 1 (5.9×10^8 RLU/mg protein) and was comparable to transfection activity in serum free media. When the ratios of DOGSDSO to DNA were 1/1, 2/1, 3/1, and 4/1(w/w), the expression of luciferase protein was not statistically different ($p > 0.2782$), suggesting the system reached saturation. The highest transfection activity of DOGSDSO was 3 times higher than that of DOGSHDO and 2 times higher than that of DOTAP in COS 1 cells. In CHO cells, the transfection was inhibited by serum to some degree, the optimal transfection activity of all three liposomes in serum was about three times lower than that in serum free media. However, when compared to each other, the optimal transfection activity of DOGSDSO was still 3 times higher than the optimal transfection activity of DOTAP or DOGSHDO.

Example 5—Transgene expression efficiency

The transgene expression of green fluorescence protein of DOGSDSO/DOPE, DOGSHDO/DOPE and DOTAP/DOPE were studied by using the optimal transfection ratio of each liposome in CHO cells. The efficiency of DOTAP, DOGSDSO, and DOGSHDO was 5-6%, 20-25%, and 6-7% respectively. These results were consistent with those of luciferase gene expression experiments.

Example 6—Transfection activity of liposomes as a function of time

When DNA transfection was carried out in serum free media, the DNA/liposome complexes usually incubated with cells for about 4-5 hours. This period of incubation time was selected based on two facts: a) it was reported most of the complexes are internalized by 6 hours (Zabner, J., A.J. Fasbender, T. Moninger, K.A. Poellinger, M.J. Welsh (1995) *J. Biol. Chem.* 270:18997-19007), b) with further increases in incubation time without serum, the cells lack growth nutrition and are more vulnerable to toxicity of complexes and, therefore, the cell viability decreases (Farhood, H., R. Bottega, R.M. Epand, L. Huang (1992) *Biochim. Biophys.*

Acta 1111, 239-246). For gene transfection in growth media containing 10% FBS, the toxicity of complexes may be alleviated, and also the transfection may be inhibited by enzymes or slowed down by negatively charged macromolecules. Both transfection of DOGSDSO and DOGSHDO reached the highest transfection activity at 12 hour transfection time in CHO cells (p<0.0001). With further increases in incubation time, transfection activity decreased. The decrease of transfection activity may be caused by the cytotoxicity of DNA/liposome complexes. However, the transfection activity of DOTAP was not statistically different from 2 hours to 48 hours transfection time (p>0.1220). With DOTAP/DNA at the weight ratio of 4/1, transfection complexes formed large aggregates in half an hour during transfection.

Example 7—Transgene expression as a function of the amount of DNA/liposomes complex

Transfection activity of different formulations of cationic liposomes are usually studied either by fixing the amount of DNA or fixing the amount of cationic liposomes and changing the ratios of liposome to DNA (Felgner, J.H., R. Kumar, C.N. Sridhar, C.J. Wheeler, Y.J. Tsai, R. Border, P. Ramsey, M. Martin, P.L. Fengler (1994) *J. Biol. Chem.* 269:2550-2561; Gao, X. and L. Huang (1991) *Biochem. Biophys. Res. Commun.* 179:280-285; Zabner, J., A.J. Fasbender, T. Moninger, K.A. Poellinger, M.J. Welsh (1995) *J. Biol. Chem.* 270:18997-19007; Vigneron, J.P., N. Oudrhiri, M. Fauquiet, L. Vergely, J.C. Bradley, M. Bassevill, P. Lehn, J.M. Lehn (1996) *Proc. Natl. Acad. Sci. USA* 93:9682-9686; Liu, F., J. Yang, L. Huang, D. Liu (1996) *Pharmaceutical Research* 13:1856-1860; Farhood, H., R. Bottega, R.M. Epand, L. Huang (1992) *Biochim. Biophys. Acta* 1111, 239-246). The transgene expression results are usually a roughly bell shaped curves. It is generally agreed that the low activity of low lipid/DNA ratios is due to reduced cell membrane binding, and the decline in transfection activity at high ratios reflects toxic effects of cationic lipids. The weight ratios of DOGSDSO/DNA and DOGSHDO/DNA were fixed at the optimal ratio of 10/1, and treated 2×10^5 COS 1 cells and CHO cells with increasing amounts of DNA/liposome complexes. The gene transfection by DOGSDSO is very efficient in COS 1 cells, where system reached saturation at 2 g of DNA. With a further increase of DNA from 2 g to 7 g, there was no significant increase of transgene expression (p>0.2319). Different from that of DOGSDSO, the transgene expression mediated by DOGSHDO increased with the increase of DNA/DOGSHDO complexes (p<0.0071) for the system did not reach saturation. When DOGSDSO was used as a transfection vector in COS 1 cells, luciferase gene expression of 2 g of pDNA was 3 time higher than that of 7 g of pDNA by using DOGSHDO as a vector ($1.18 \times 10^9/3.84 \times 10^8$).

For transfection in CHO cells, DOGSDSO also showed a higher transfection efficiency that DOGSHDO. The system reached saturation when 5 μ g of DNA was transferred by 50 μ g of DOGSDSO. There was no significant difference of gene expression between the treatments of 5 μ g of DNA and 6 μ g of DNA ($p>0.6528$). Further increase of DNA to 7 μ g resulted in a decrease of gene expression ($p<0.0232$). The decrease may be caused by the toxic effect of complexes. Furthermore, gene expression kept increasing with an increase in the amount of DNA/DOGSHDO liposome and the trend was the same as that in COS 1 cells. 5 μ g of DNA transfected by DOGSDSO resulted 14 times higher luciferase gene expression than that of 7 μ g of DNA transferred by DOGSHDO ($9.03E+08/6.5E+07$).

10 Toxicity of cationic liposomes and DNA/liposome complexes

Cytotoxicity of DOTAP/DOPE, DOGSDSO/DOPE, and DOGSHDO/DOPE and their DNA complexes were studied in CHO cells. Liposomes of DOTAP/DOPE had the highest toxicity at the high concentration of 75 μ g/ml ($p<0.0220$). Toxicity of DOGSDSO/DOPE and DOGSHDO/DOPE were not statistically significantly different at high concentration of 75 μ g/ml ($p>0.9839$). After liposomes were complexed with DNA, the toxicity of liposomes was masked and was lower than the toxicity of cationic liposome alone. At high concentrations, complexes of DNA/(DOGSDSO/DOPE) had much higher toxicity than that of DNA/(DOGSHDO/DOPE) and DNA/(DOTAP/DOPE) ($p<0.0022$), and even statistically equaled that of DOGSDSO/DOPE ($p=0.0777$). The relatively high toxicity may be caused by toxicity of high concentration of transcribed luciferase protein.

Example 8—Release of DNA from disulfide cationic liposomes/DNA complexes by glutathione

DNA was complexed with a disulfide cationic liposome CHDTAEA/DOPE or its non-disulfide cationic liposome analog CHSTAEA/DOPE at the cationic lipid to DNA ratio of 2/1. As indicated in Figure 4, DNA was tightly complexed by both cationic liposomes. In the absence of glutathione, disulfide liposomes/DNA complexes did not release DNA after 20-hour incubation in PBS at 37 °C. In the presence of 10 mM of glutathione, >50% of DNA was released from complexes after the incubation. In both reductive and non-reductive environments, non-disulfide liposome CHSTAEA/DNA complexes did not release any DNA. The results suggested cationic liposome/DNA complexes were stable, and that cellular reductive substances (*i.e.*, glutathione) can destabilize the complexes and help DNA to dissociate from liposomes. The complexes with the ratios of cationic liposome/DNA from 3/1 to 5/1 were also tested in the release assay with similar same results.

Example 9—Transfection of pGL3-luciferase plasmid in mammalian cells

Transfection activities of liposomes of CHDTAEA/DOPE, CHSTAED/DOPE, and DC-Chol/DOPE were compared in CHO and SKnSH cells (Figure 5). The same cell lines with the same passage number and from the same flask were plated in three plates. The cells were transfected and the transgene expression was analyzed at the same time. The data was variable from time to time although the same cell line, the same liposomes, and the same transfection period were used. However, in spite of the fact that the values from different experiments were variable, the trends were consistent. For example, the results that CHDTAEA had more than 100 times higher transfection activities were consistent in all experiments whereas the absolute value of RLU/well for each liposome in different experiments would fluctuate. In CHO cells, the transfection activities of liposomes CHDTAEA/DOPE and DC-Chol/DOPE peaked at the weight ratio of cationic lipid to DNA of 1/1, and CHSTAEA/DOPE peaked at the weight ratio of 2/1 (Figure 5A). At the optimal ratios of each liposome, CHDTAEA/DOPE had more than 100 times higher transfection activities than DC-Chol/DOPE, and 7 times higher transfection activities than its non-disulfide analog CHSTAEA/DOPE. In SKnSH cells, all three transfection agents peaked at weight ratio of 1/1. CHDTAEA/DOPE had 7 times greater transfection activities than both CHSTAEA/DOPE and DC-CHOL/DOPE (Figure 5B).

Example 10—Cytotoxicity of liposome/DNA complexes

The cytotoxicity of DNA/liposome complexes was tested in both CHO and SKnSH cells (Figure 6). As indicated in Figure 6A, CHDTAEA/DOPE was not toxic to CHO cells up to the dose of 5 μ g/well ($p>0.05$) (Figure 6A). The non-disulfide analog CHSTAEA/DOPE had higher toxicity than CHDTAEA/DOPE at the doses of 4 μ g/well and 5 μ g/well ($p<0.05$). DC-Chol/DOPE had only about 30% cell survival at the dose of 5 μ g/well. In SKnSH cells, CHDTAEA/DOPE also demonstrated lower toxicity, and it did not show significant toxicity until to the dose of 5 μ g/well ($p>0.05$). At the dose of 5 μ g/well, about 70% of cells survived for the toxicity of CHDTAEA/DOPE. CHSTAEA/DOPE and DC-Chol/DOPE exhibited much higher toxicity than CHDTAEA/DOPE at the doses of 3 μ g/well, 4 μ g/well, and 5 μ g/well ($p<0.05$). In both cell lines, the data suggested that application of dithiodiglycolic acid as a linker could greatly decrease the toxicity of cationic liposomes.

Example 11—Cellular associated DNA by different liposomes

To investigate if the greater transgene expression by CHDTAEA/DOPE liposomes resulted from a greater amount of delivered pDNA by the liposomes, cell associated

fluorescein-pDNA after 4.5-hour transfection period was analyzed by using flow cytometric analysis. The relative amount of FITC-pDNA associated with cells after the transfection period in CHO cells was measured by relative fluorescence intensity using flow cytometry. The weight ratio of cationic lipid to DNA of 2/1 was used for each liposome (*i.e.*, CHDTAEA/DOPE, CHSTAEA/DOPE, and DC-Chol/DOPE) (Figure 7). It was surprising to find that CHDTAEA/DOPE liposomes delivered less DNA to cells than either the CHSTAEA/DOPE or DC-Chol/DOPE liposomes even though it had more than 100 times higher transgene expression than DC-Chol/DOPE and 7 times higher than CHSTAEA/DOPE at the weight ratio (*i.e.*, 2/1) (Figure 5A). The cell associated pDNA of CHSTAEA/DOPE liposome and DC-Chol/DOPE liposome treatments were not significantly different whereas the transfection activity of CHSTAEA/DOPE was higher than that of DC-Chol/DOPE (Figure 5A).

It should be understood that the examples and embodiments described herein are for illustrative purposes only and that various modifications or changes in light thereof will be suggested to persons skilled in the art and are to be included within the spirit and purview of this application and the scope of the appended claims.

Claims

1 1. A method of delivering a desired molecule into a cell wherein said method comprises
2 attaching said desired molecule to a transport molecule thereby forming a transport complex
3 wherein said transport molecule remains associated with said desired molecule in extracellular
4 conditions and releases said desired molecule in intracellular conditions; said method further
5 comprising contacting said transport complex with said cell.

2. The method, according to claim 1, wherein said desired molecule is selected from the group consisting of polypeptides and polynucleotides.

1 3. The method, according to claim 2, wherein said desired molecule is DNA.

1 4. The method, according to claim 1, wherein said transport molecule comprises a
2 chemical bond which is broken in the intracellular environment.

1 5. The method, according to claim 4, wherein said bond is a disulfide bond.

1 6. The method, according to claim 1, wherein said transport molecule is a cationic lipid.

1 7. The method, according to claim 6, wherein said cationic lipid comprises a disulfide
2 bond.

1 8. The method of claim 7, wherein said transport molecule is selected from the group
2 consisting of DOGSDSO and CHDTAEA.

9. A method for preparing a cationic lipid having a disulfide bond wherein said method comprises conjugating a hydrophobic lipid portion and a hydrophilic cationic portion with a compound comprising a disulfide bond.

1 10. The method, according to claim 9, which comprises a step selected from the group
2 consisting of:

(I) lipid-COOH + HOCH₂CH₂-S-S-CH₂CH₂OH + HOOC-cationic portion -
2-hydroxyethyl disulfide
lipid-COO-CH₂CH₂-S-S-CH₂CH₂-OOC-cationic portion;

- 6 (II) lipid-COOH + H₂NCH₂CH₂-S-S-CH₂CH₂NH₂ + HOOC-cationic portion -
 7 cystamine
 8 lipid-CONH-CH₂CH₂-S-S-CH₂CH₂-NHOC-cationic portion; and
- 9 (III) lipid-OH + HOOC(CH₂)_n-S-S-(CH₂)_nCOOH + H₂N-amine -
 10 dithiodiglycolic acid;
 11 lipid-OOCCH₂-S-S-CH₂CONH-amine;
 12 wherein n = 1-4.

1 11. A compound formed by the method of claim 10.

1 12. A method for preparing DOGSDSO wherein said method comprises:

- 2 (a) protecting the amino groups of L-ornithine with BOC-ON to produce compound B;
 3 (b) esterifying compound B with 2-hydroxyl disulfide to form compound C;
 4 (c) condensing compound C with 1,2-Dioleoyl-sn-Glycero-3-Succinate (compound D);
 5 to obtain BOC-DOGSDSO (compound E); and
 6 (d) deprotecting compound E to give DOGSDSO.

1 13. A compound designated 1,2-Dioleoyl-sn-Glycero-3-Succinate.

1 14. A compound useful for delivering a desired molecule into the intracellular regions
 2 of a cell, wherein said compound attaches to said desired molecule in extracellular conditions
 3 and releases said desired molecule in intracellular conditions.

1 15. The compound, according to claim 14, wherein said compound attaches to said
 2 desired molecule in high sodium conditions and releases said polynucleotide in low sodium and
 3 high potassium conditions.

1 16. The compound, according to claim 14, wherein said compound attaches to said
 2 desired molecule in low viscosity conditions and releases said desired molecule in high viscosity
 3 conditions.

1 17. The compound, according to claim 14, wherein said compound attaches to said
 2 desired molecule outside the presence of glutathione and releases said desired molecule in the
 3 presence of glutathione.

- 1 18. A composition comprising CHDTAEA.

1/6

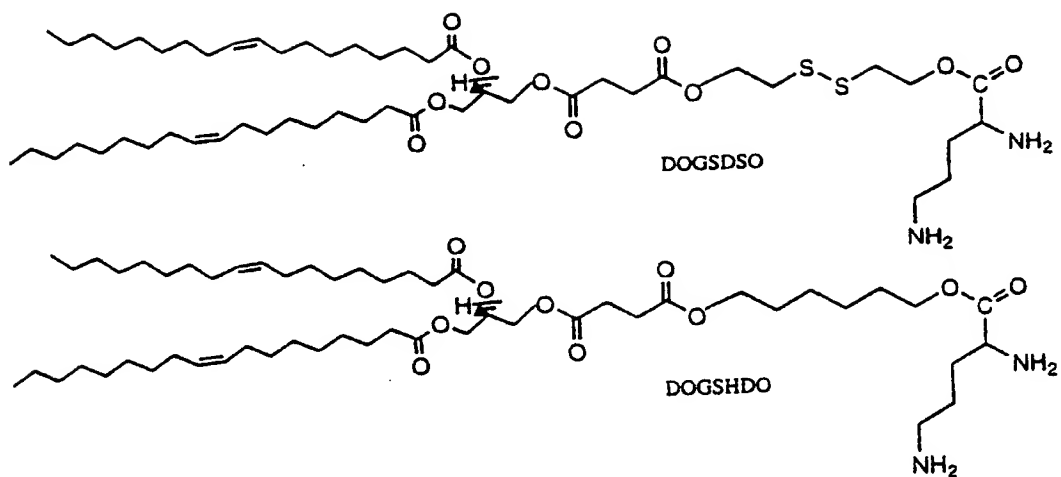


FIG. 1A

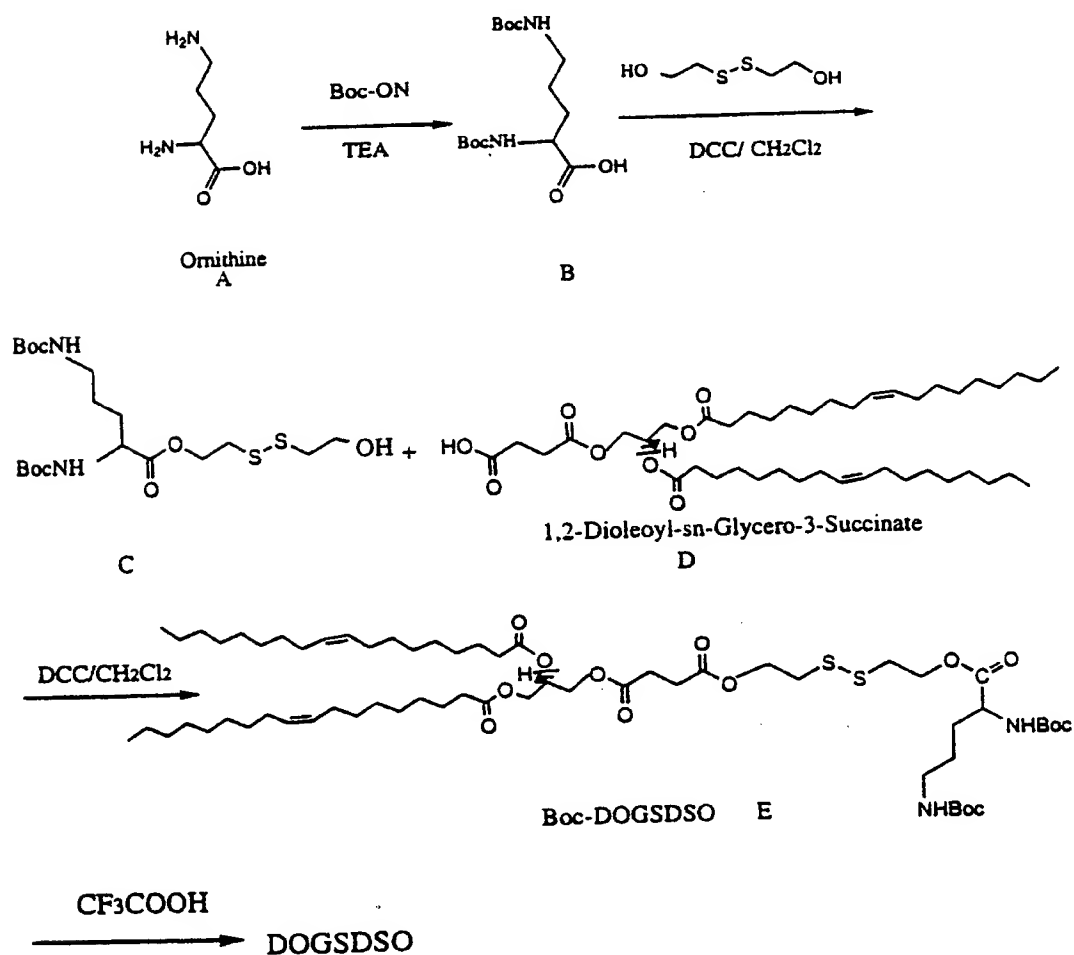


FIG. 1B

2/6

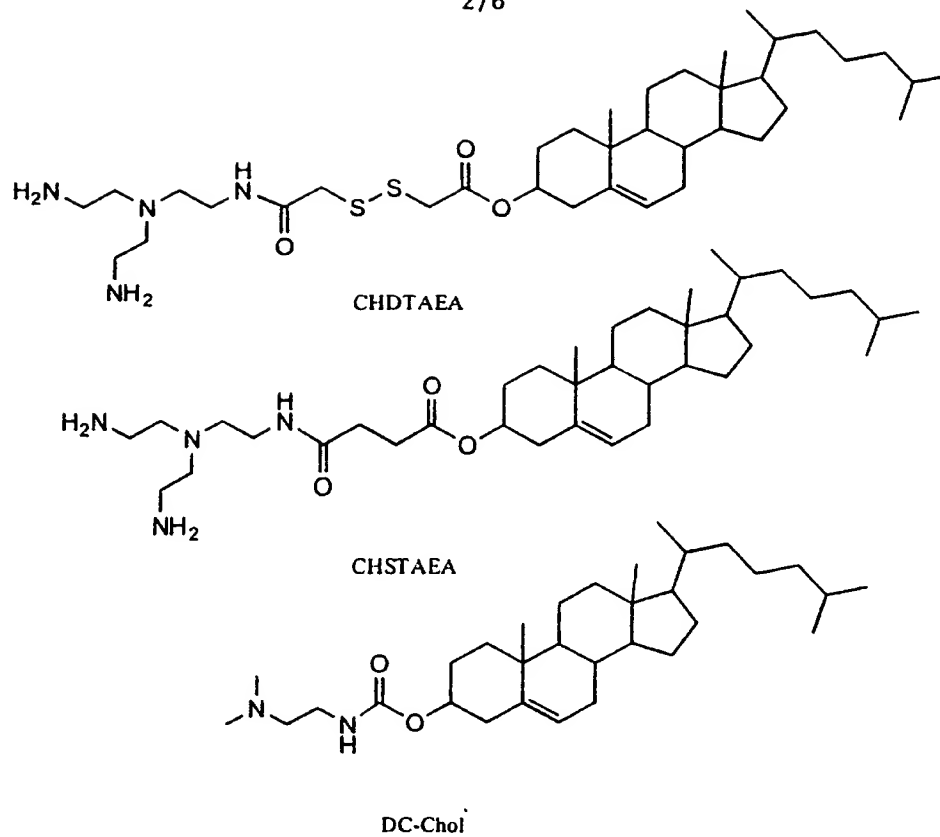


FIG. 2

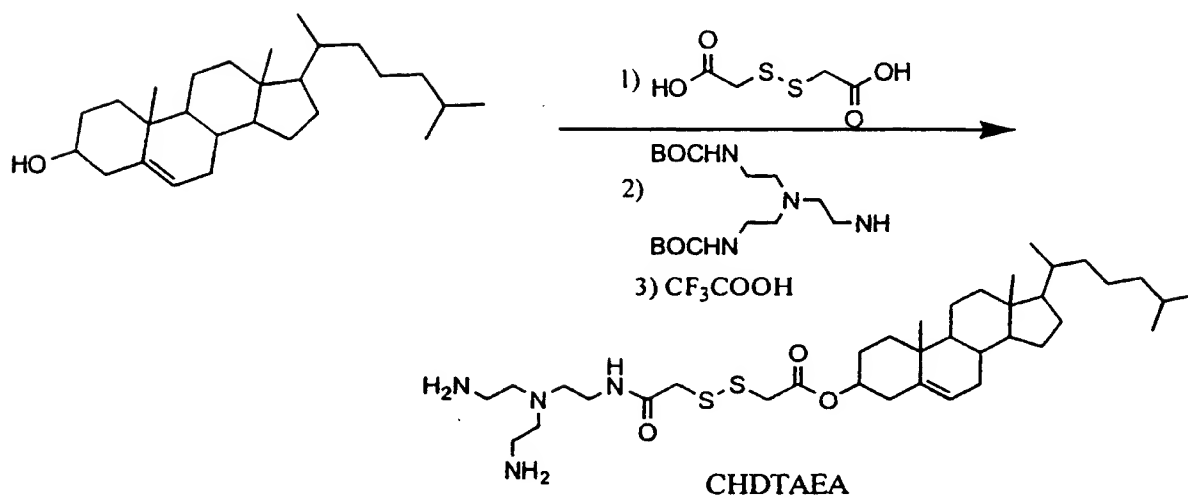
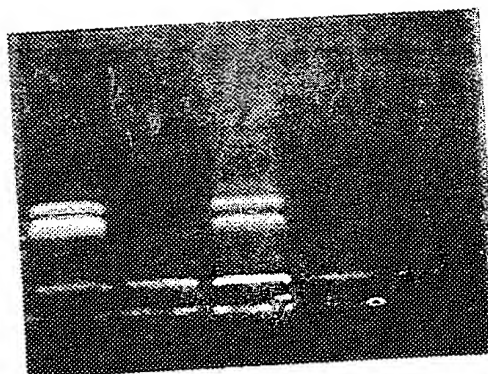


FIG. 3

Glutathione + - + - +



A B B C C

FIG. 4

4/6

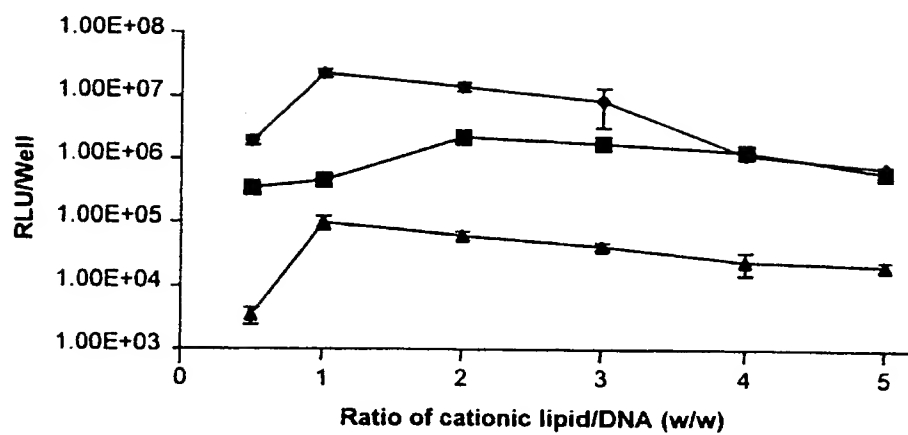


FIG. 5A

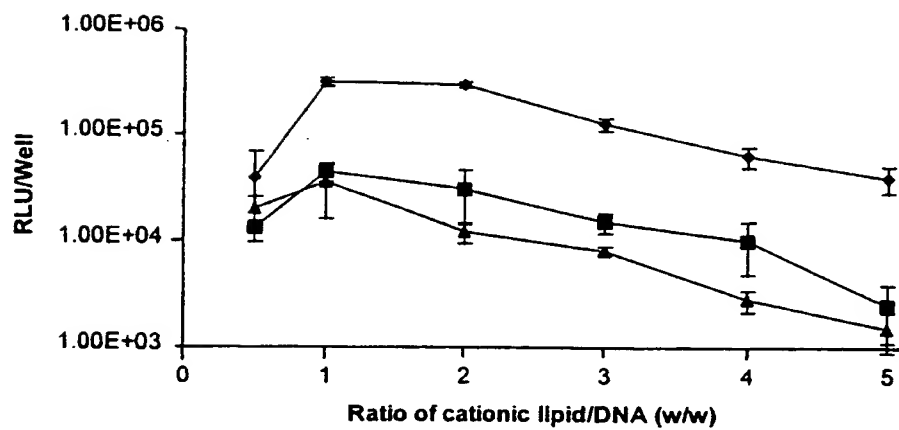


FIG. 5B

5/6

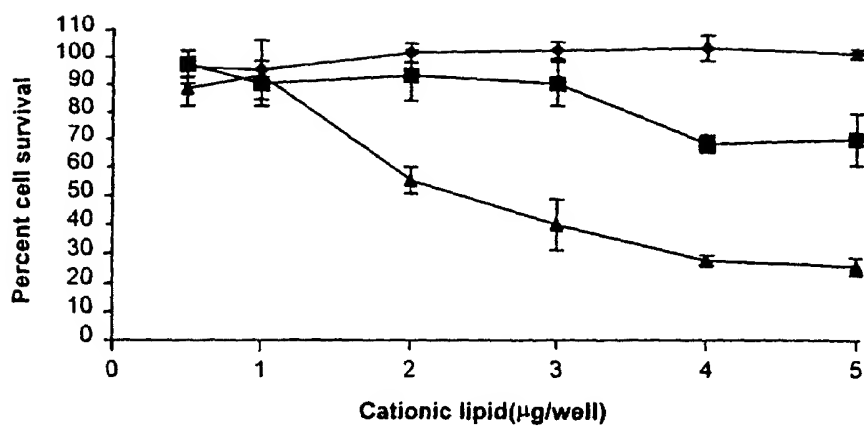


FIG. 6A

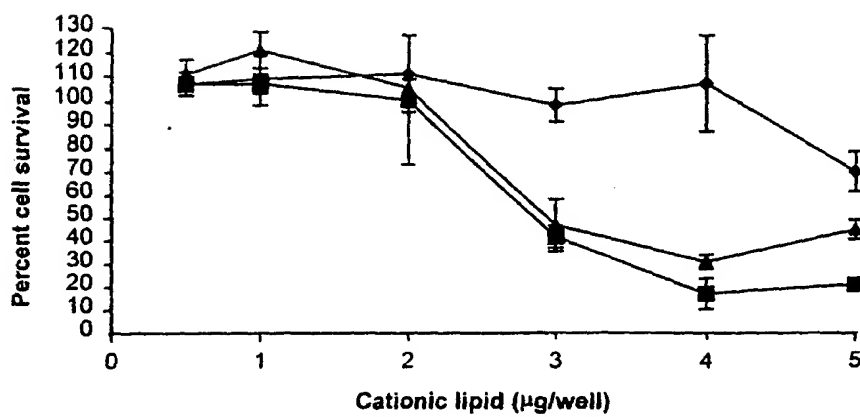


FIG. 6B

6/6

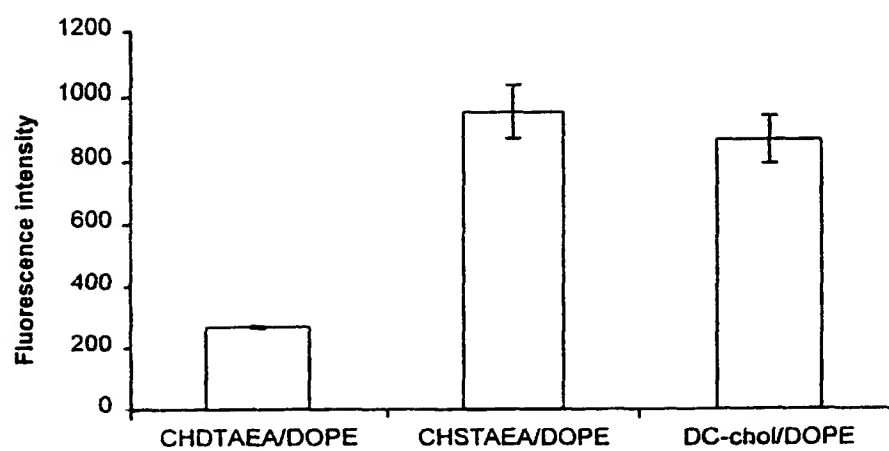


FIG. 7

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US 99/10423

A. CLASSIFICATION OF SUBJECT MATTER

IPC 6 A61K47/48 C07J41/00 C07C69/58 A61K48/00

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 6 A61K C07J C07C

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category * | Citation of document, with indication, where appropriate, of the relevant passages | Relevant to claim No. |
|------------|--|-----------------------|
| X | TANG F ET AL: "Introduction of a disulfide bond into a cationic lipid enhances transgene expression of plasmid DNA." BIOCHEMICAL AND BIOPHYSICAL RESEARCH COMMUNICATIONS, (1998 JAN 6) 242 (1) 141-5. , XP002080030 | 1-17 |
| Y | Materials and Methods on page 141 with reference to "Chemicals", Figures 1 and 3 | 18 |
| X | BRISCOE P ET AL: "Delivery of superoxide dismutase to pulmonary epithelium via pH-sensitive liposomes." AMERICAN JOURNAL OF PHYSIOLOGY, (1995 MAR) 268 (3 PT 1) L374-80. , XP002116608 abstract and discussion | 1,4,13, 14 |
| | -/- | |

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

* Special categories of cited documents :

- *A* document defining the general state of the art which is not considered to be of particular relevance
- *E* earlier document but published on or after the international filing date
- *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *O* document referring to an oral disclosure, use, exhibition or other means
- *P* document published prior to the international filing date but later than the priority date claimed

- *T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- *X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- *Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- *Z* document member of the same patent family

Date of the actual completion of the international search

5 October 1999

Date of mailing of the international search report

15. 10. 99

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Pilling, S

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US 99/10423

| C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT | | |
|--|--|-----------------------|
| Category * | Citation of document, with indication, where appropriate, of the relevant passages | Relevant to claim No. |
| X | US 5 656 609 A (WU GEORGE Y ET AL) 12 August 1997 (1997-08-12) column 3, line 64 -column 4, line 20 --- | 1-4,14 |
| X | WO 98 17325 A (STOWELL MICHAEL H B;UNIV OREGON HEALTH SCIENCES ; YATVIN MILTON B) 30 April 1998 (1998-04-30) page 7, line 3 -page 7, line 18 page 9, line 8 -page 9, line 10 examples --- | 1,14 |
| X | WO 91 18012 A (BIOSPAN CORP) 28 November 1991 (1991-11-28) page 2, line 10 -page 2, line 20 page 8, line 13 -page 11, line 21 --- | 1-5,14, 17 |
| X | WO 91 14696 A (GILEAD SCIENCES INC) 3 October 1991 (1991-10-03) abstract --- | 1-5,14, 17 |
| X | SHEN, WEI CHIANG ET AL: "The intracellular release of methotrexate from a synthetic drug carrier system targeted to Fc receptor-bearing cells" J. CONTROLLED RELEASE (1989), 10(1), 89-96, XP002116609 discussion --- | 1,4,5,14 |
| X | SHEN, W. C. ET AL: "Disulfide and other spacers for the intracellular release of drugs from polymeric carriers" POLYM. PREPR. (AM. CHEM. SOC., DIV. POLYM. CHEM.) (1986), 27(1), 9-10 , XP002116610 first paragraph on page 9 --- | 1,4,5, 14,17 |
| X | WO 98 13007 A (SHEN WEI CHIANG ;WANG JINGHUA (US); UNIV SOUTHERN CALIFORNIA (US)) 2 April 1998 (1998-04-02) page 5, line 11 -page 5, line 20 --- | 1,2,4,5, 14 |
| Y | WANG J ET AL: "SYNTHESIS OF MULTIVALENT CATIONIC CHOLESTERYL LIPIDS FOR USE AS GENE DELIVERY VEHICLES" PROCEEDINGS OF THE INTERNATIONAL SYMPOSIUM ON CONTROLLED RELEASE BIOACTIVE MATERIALS, no. 22, 1 January 1995 (1995-01-01), pages 414-415, XP000607562 ISSN: 1022-0178 the whole document --- -/-- | 18 |

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US 99/10423

| C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT | | |
|--|--|-----------------------|
| Category * | Citation of document, with indication, where appropriate, of the relevant passages | Relevant to claim No. |
| Y | MORADPOUR D ET AL: "EFFICIENT GENE TRANSFER INTO MAMMALIAN CELLS WITH CHOLESTERYL -SPERMIDINE" BIOCHEMICAL AND BIOPHYSICAL RESEARCH COMMUNICATIONS, vol. 221, no. 1, 5 April 1996 (1996-04-05), pages 82-88, XP000608431 ISSN: 0006-291X abstract experimental procedures --- | 18 |
| P,X | WO 98 50417 A (GENZYME CORP) 12 November 1998 (1998-11-12) page 5, line 2 -page 6, line 1 examples page 32, line 1 -page 33, line 2 figure 3 --- | 1-7,9, 14,17 |
| E | WO 99 38821 A (DUBERTRET CATHERINE ;PITARD BRUNO (FR); SCHERMAN DANIEL (FR); RHON) 5 August 1999 (1999-08-05) page 8, line 10 -page 9, line 6; claim 1 examples ----- | 1-7,9, 14,17 |

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US 99/10423

Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☒ Claims Nos.:
because they relate to subject matter not required to be searched by this Authority, namely:

Although Claims 1 to 8 are directed to a method of treatment of the human/animal body, the search has been carried out and based on the alleged effects of the compound/composition.
2. ☒ Claims Nos.: 15,16 and Claims 1-7, 9-11, 14, 17 in part
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
see FURTHER INFORMATION sheet PCT/ISA/210
3. ☐ Claims Nos.:
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

INTERNATIONAL SEARCH REPORT

International Application No. PCT/US 99/10423

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

Continuation of Box I.2

Claims Nos.: 15,16 and Claims 1-7, 9-11, 14, 17 in part

Claim 1 broadly covers all methods of delivering desired molecules into cells using transport complexes which dissociate in intracellular conditions. The Application, however only describes the use of specific cationic lipids with disulphide bonds, i.e. DOGSDSO and CHDTAEA as transport molecules. Hence, it is considered that there is insufficient disclosure to enable the invention to be carried out across the full scope of the present claims (Art. 5 and 6 PCT). In this regard, vague references, for example to transport molecules which attach to a desired molecule in "high sodium conditions" and release said desired molecule "in low sodium and high potassium conditions" (see, for example, Claim 15 and similarly unsupported definitions in Claim 16) without any further explanation or exemplification thereof is not considered to represent a clear and complete disclosure of these further embodiments.

In addition, it is also noted that the claims comprise features defined by a result to be achieved.

Hence, in view of the lack of support and clarity of the claims, a meaningful search over the whole of the claimed scope is impossible.

Consequently, the search has been limited to those claims which appear to be clear and supported by the description, namely claims relating to methods involving DOGSDSO and/or CHDTAEA i.e. Claims 8, 12, 13, 18 and Claims 1 to 7 and 9 to 11, 14, 17 in part).

It is further noted that although no formal lack of unity objection has presently been raised, that the present claims lack unity of invention in view of the disclosure of document D1. In this regard, there is no clear unifying inventive concept linking any of the present claims. Hence each of the present claims appears to relate to a separate invention. Further consideration will be given to this matter if and when examination of this application is carried out.

The applicant's attention is drawn to the fact that claims, or parts of claims, relating to inventions in respect of which no international search report has been established need not be the subject of an international preliminary examination (Rule 66.1(e) PCT). The applicant is advised that the EPO policy when acting as an International Preliminary Examining Authority is normally not to carry out a preliminary examination on matter which has not been searched. This is the case irrespective of whether or not the claims are amended following receipt of the search report or during any Chapter II procedure.

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 99/10423

| Patent document cited in search report | | Publication date | Patent family member(s) | | Publication date |
|---|---|---------------------|----------------------------|-----------|---------------------|
| US 5656609 | A | 12-08-1997 | CA | 2144659 A | 31-03-1994 |
| | | | EP | 0662140 A | 12-07-1995 |
| | | | JP | 8503605 T | 23-04-1996 |
| | | | WO | 9406922 A | 31-03-1994 |
| ----- | | | | | |
| WO 9817325 | A | 30-04-1998 | US | 5827819 A | 27-10-1998 |
| | | | AU | 5090998 A | 15-05-1998 |
| | | | EP | 0944399 A | 29-09-1999 |
| ----- | | | | | |
| WO 9118012 | A | 28-11-1991 | US | 5169934 A | 08-12-1992 |
| | | | CA | 2059649 A | 15-11-1991 |
| | | | EP | 0482185 A | 29-04-1992 |
| | | | JP | 5502886 T | 20-05-1993 |
| | | | US | 5334391 A | 02-08-1994 |
| ----- | | | | | |
| WO 9114696 | A | 03-10-1991 | AU | 7759291 A | 21-10-1991 |
| | | | CA | 2079109 A | 30-09-1991 |
| | | | EP | 0537299 A | 21-04-1993 |
| ----- | | | | | |
| WO 9813007 | A | 02-04-1998 | AU | 4596797 A | 17-04-1998 |
| | | | NO | 991465 A | 10-05-1999 |
| ----- | | | | | |
| WO 9850417 | A | 12-11-1998 | US | 5942634 A | 24-08-1999 |
| | | | AU | 7293998 A | 27-11-1998 |
| ----- | | | | | |
| WO 9938821 | A | 05-08-1999 | FR | 2774394 A | 06-08-1999 |
| ----- | | | | | |

1/6

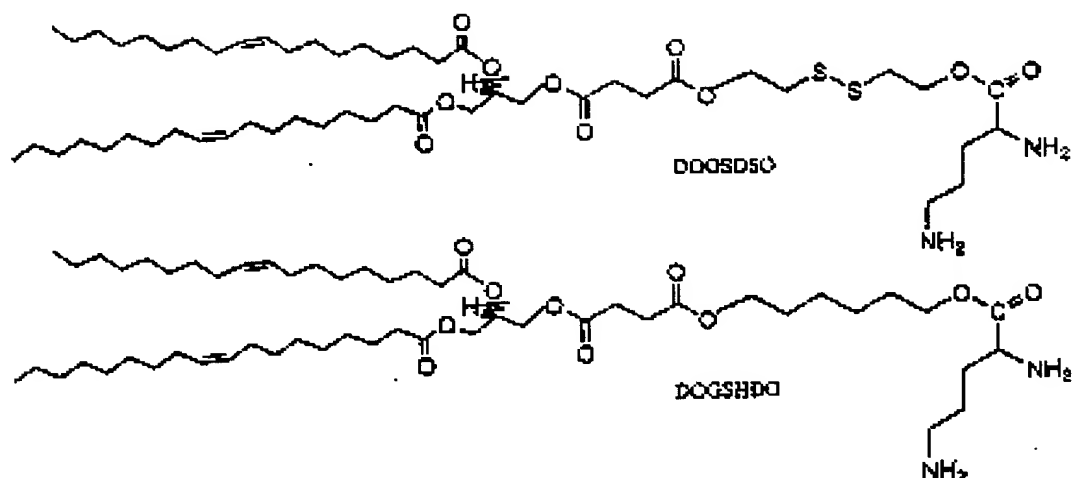


FIG. 1A

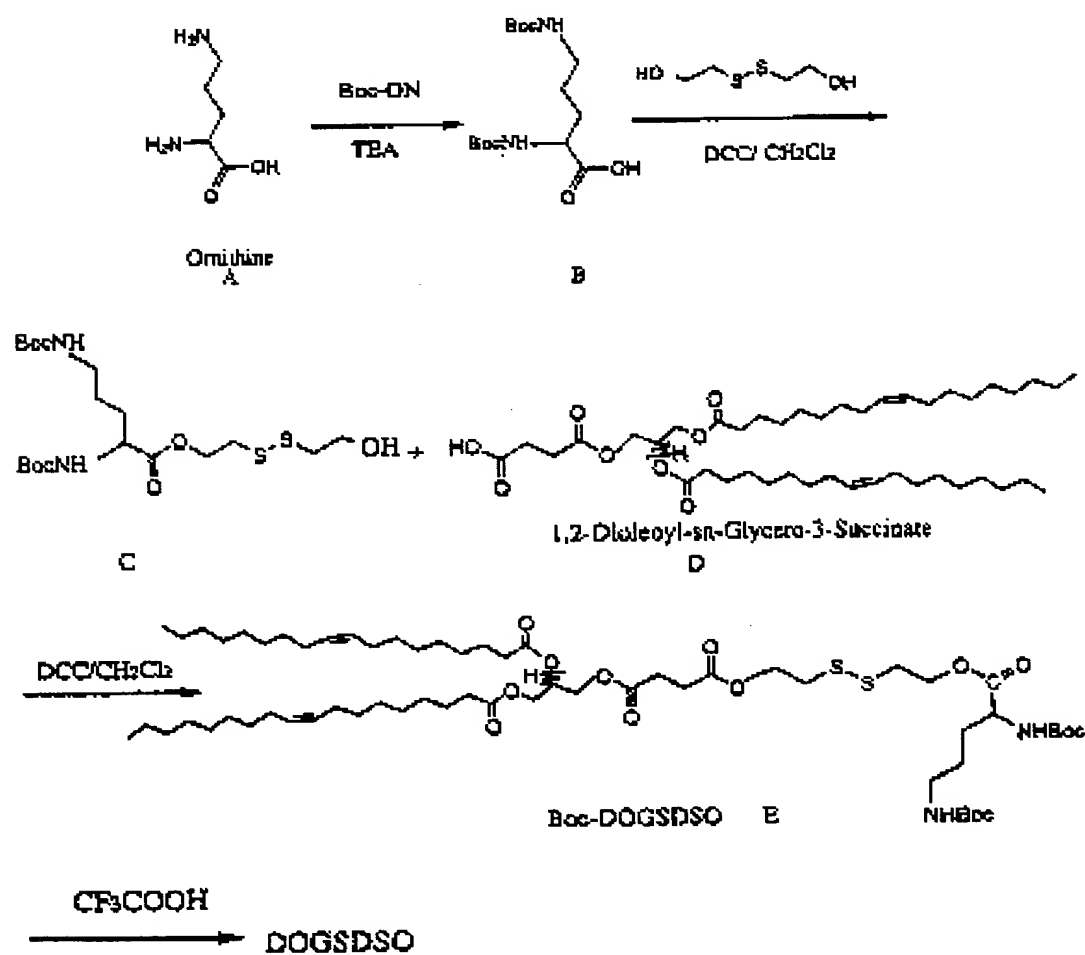


FIG. 1B

2/6

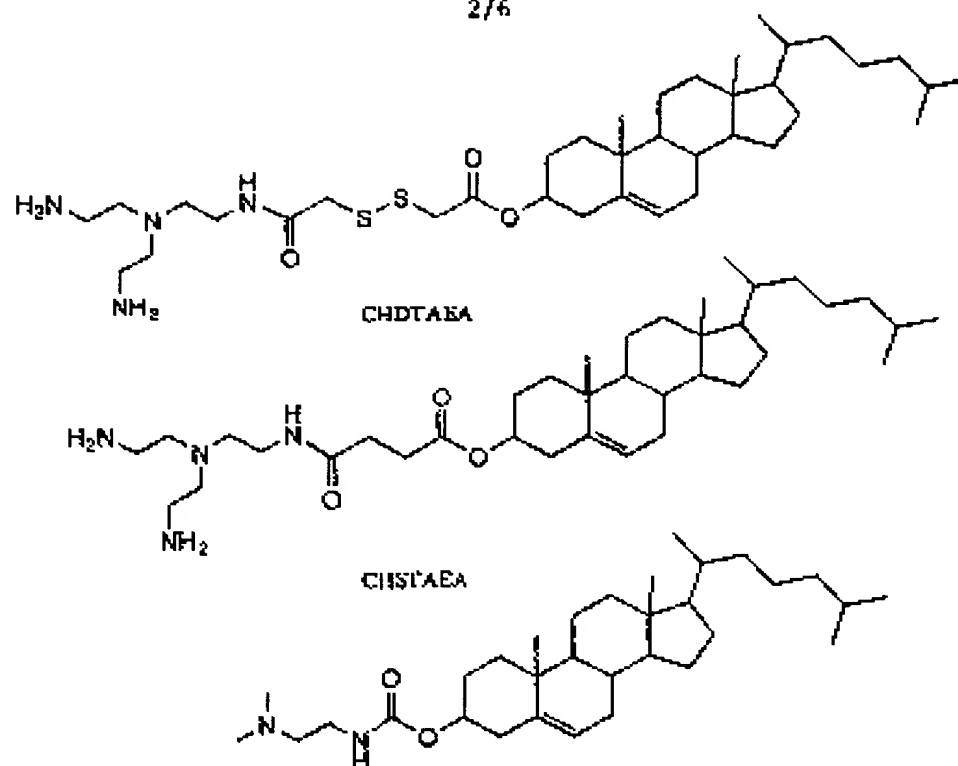


FIG. 2

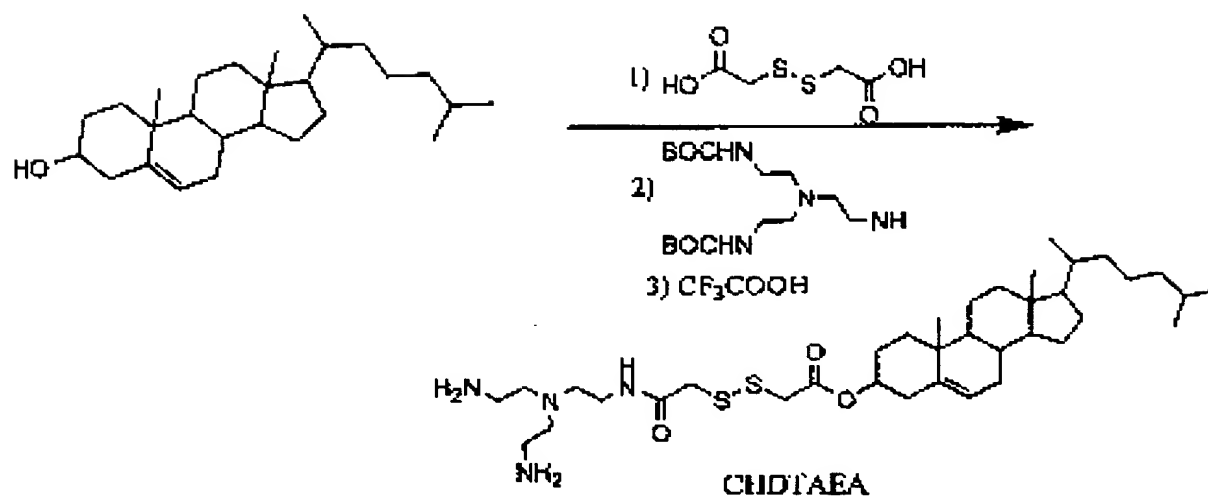
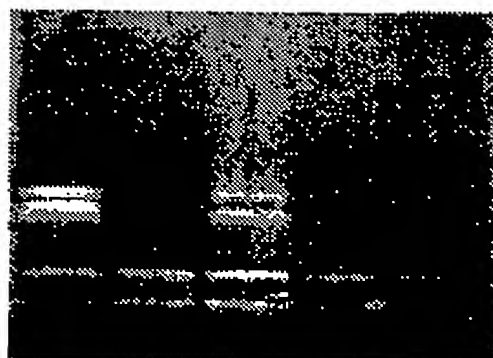


FIG. 3

3/6

Glutathione + - + - +



A B B C C

FIG. 4

4/6

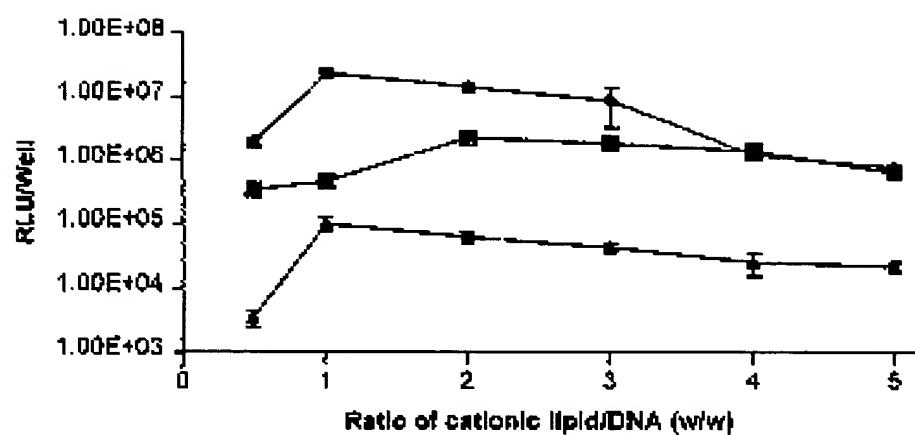


FIG. 5A

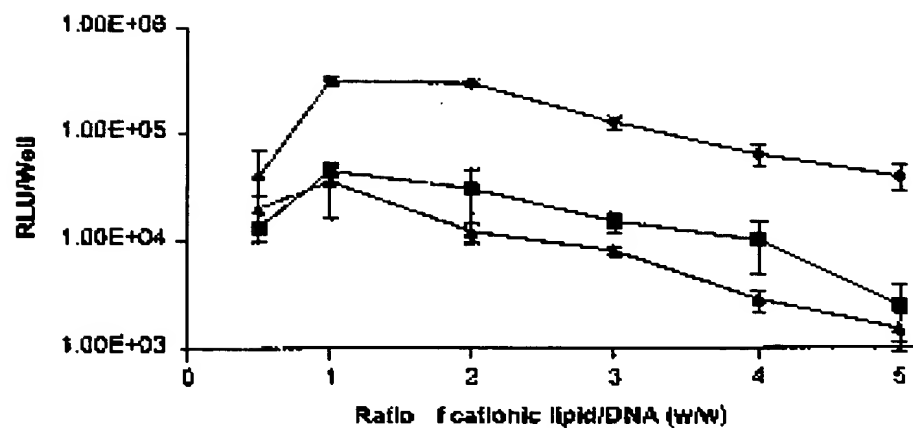


FIG. 5B

5/6

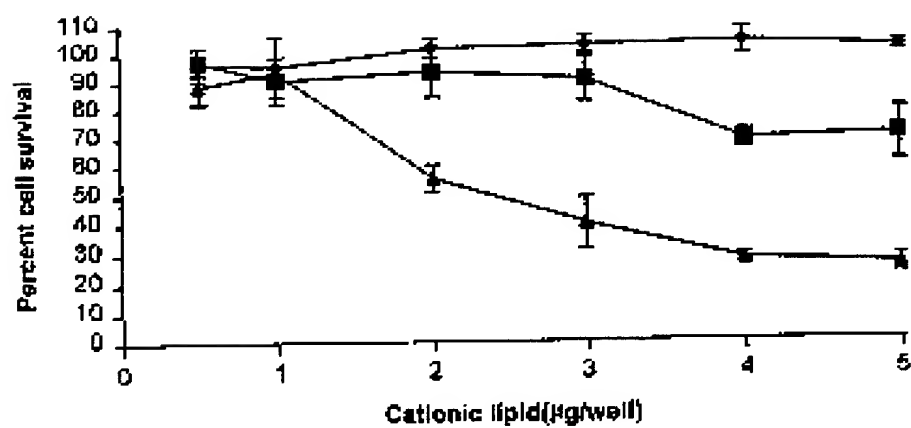


FIG. 6A

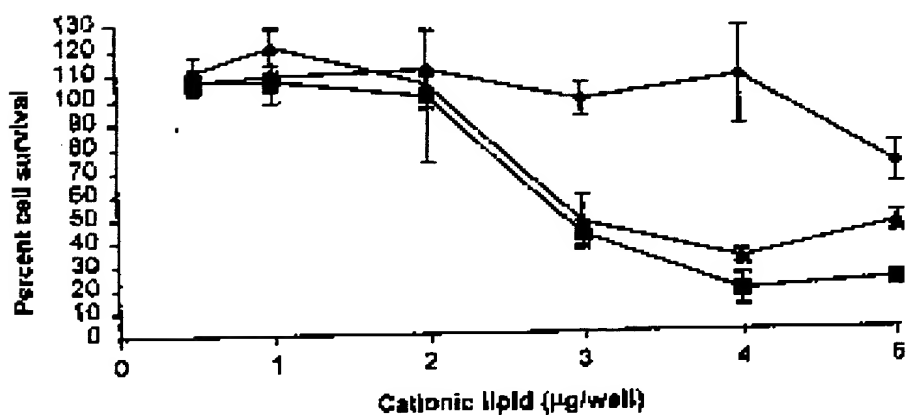


FIG. 6B

6/6

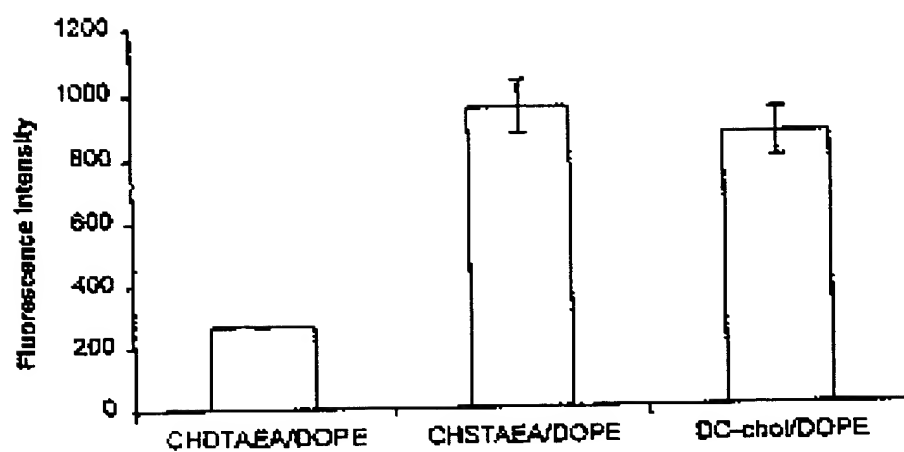


FIG. 7